

Towards an Integrated Translation Approach. Proposal of a Dynamic
Translation Model (DTM)

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Sergio Bolaños Cuellar

aus Bogotá

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Preface

I would like to express my gratitude to all the people who supported me during the process of writing this thesis. Special thanks are obviously due to Professor Juliane House, who was kind enough to accept my ambitious proposal for developing an integrated translation approach. Her shrewd perception of the task at hand, her insightful remarks and scientific discussions helped me develop my research in the right direction. I truly believe that Translation Studies is an interdisciplinary research field where diverse scientific interests can legitimately *converge* and *coexist*. I hope this thesis will contribute to some extent to the development of this integrated, inclusive, and multifaceted approach to Translation Studies.

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0 Introduction

Translation Studies, translatology or the science of translation (G. *Übersetzungswissenschaft*, *Translatologie*; Fr. *traductologie*, *science de la traduction*; Sp. *traductología*, *ciencia de la traducción*; Rus. *переводоведение*) has been characterized by the development of two different approaches that have tended to exclude each other: a linguistics-oriented approach and a culture-and-literature-oriented one. In general terms, we can say that linguistically-oriented translational approaches have considered, as a point of departure, that translating is a linguistic operation (cf. Fedorov 1953; Mounin 1963; Reiss 1971/2000; Catford 1965; Albrecht 1973; Wilss 1977; Koller 1992; Neubert and Shreve 1992; Hatim and Mason 1990/1997; Gutt 1995; Baker 1992; Gerzymisch-Arbogast 1994; House 1997, etc.). The linguistic nature of translation has been apprehended at the systemic and textual levels. Thus, translating is considered a linguistic operation that consists in establishing systemic (according to the so-called Leipzig School) and textual equivalences between a source language text (SLT) and a target language text (TLT). On the other hand, culture-and-literature-oriented translational approaches have criticized and reacted against this linguistic view of translation because it generally does not take into account the socio-cultural contextual factors that affect and determine translation (Venuti 1992; Toury 1995; Vermeer 2000, etc.).

The main problem that arises from this state of affairs is that translation studies as such cannot advance as an autonomous scientific discipline unless there is an integrated proposal that allows us to bring together these two opposing approaches that, as I will strive to demonstrate, can –or rather should– complement each other. Renner (1989: 5) has aptly described this situation: “The study of the theory of translation does not appear as a field of research but as an archipelago with many islands and no bridges.” What I intend to do in this dissertation is precisely to present a holistic proposal in the form of a Dynamic Translation Model (DTM) that advances the theoretical foundations of translation studies as a coherent and autonomous discipline to the extent that it provides an overall integrated framework that allows us

to see how thus far mutually exclusive translational approaches can actually complement each other. Obviously, it does not mean that they do not develop their own research emphasis. Epistemologically speaking, I think that most of the problems for the implementation of an integrated endeavor arise from the idea that *one single* approach can account for the *whole* complex reality of translating. Therefore, I propose to distinguish a two-stage epistemological move: in the first stage, each translational approach delimits the subject matter, i.e. the portion of translating reality it will deal with as well as the corresponding research objectives. Then, in a second stage, an additional effort should be made to try to determine how the results obtained in each research endeavor can be integrated into a larger framework –or into an overall translational model like the one we are proposing here– where their value is assessed in a direct relationship with the overall panorama of the discipline.

The objectives I pursue in this work can be presented as follows. First, it is important to establish as a point of departure for any integrated endeavor that translation is a type of communicative realization of language use in complex socio-cultural contexts that should always be studied from this perspective. Second, I envision designing a Dynamic Translation Model (DTM) that takes into consideration the communicative nature of translation and enhances the descriptive and explanatory power of current translation approaches that focus exclusively or mostly on one main aspect of translation: its textual linguistic constituent or its contextual non-linguistic constituent. Thus, I attempt to show that through DTM it is possible to integrate these two different translation approaches, that have traditionally been considered as opposite and irreconcilable, into a holistic approach that helps to strengthen the status of Translation Studies as an autonomous discipline. This implies, in turn, that an interdisciplinary approach is called for. Third, despite the fact that almost all culture- and literature-oriented approaches have striven to discard the concept of equivalence, I intend to prove the theoretical and practical validity of ‘equivalence’ as the key constitutive concept of translation within the framework of DTM, a concept whose definition includes both textual and contextual factors. I thus link it to the crucial concept of translational norms.

By postulating a holistic and integrated approach, the current view of translation studies, perceived by both outsiders and translation scholars as a non-

autonomous and somehow fragmented, even chaotic discipline (a quick review of the approaches and bibliographies included in the main works of the discipline indicates this lack of unity), can be overcome, if not completely, at least to a certain extent. The definition, characterization and discussion of such an integrated approach imply not only advances at the theoretical level which allow us to comprehend better the complex phenomena involved in translation as a product and as a process. They also facilitate our understanding of such applied translation endeavors as translators' training and translation quality assessment. If the linguistic nature of translation is accurately comprehended, it is possible to show students how the pragmatic and semantic content of SLT can and should be reproduced in TLT, if an actual translation is envisaged. Students' attention can be focused on the fact that translating is a cognitive problem-solving activity that can be approached taking into account both its intuitive and its conscious components. Likewise, for the purposes of translation quality assessment it is important to 'reconstruct' retrospectively how equivalences between SLT and TLT have been established. We should also acknowledge that in these practical activities of teaching and assessing translation, the socio-cultural context and the translational norms active therein are crucial factors that can affect dramatically the way equivalences are established. In some instances, such as adaptations, summaries, parodies, etc., these factors even help to determine why they have been established only partially or not at all, and thus how a different textual product, that is not a translation, has been produced.

Therefore, the main hypothesis I formulate in this work is that it is possible and feasible to develop an overall integrated translational approach in the form of a Dynamic Translation Model within a pragmatic and communicative translational framework that helps us to overcome thus far traditionally irreconcilable linguistics and culture-and-literature -oriented translational approaches, thereby allowing for the furthering and improvement of both theoretical and practical aspects of translation studies as an independent and autonomous discipline. The proposal is presented in the form of a model because, as Neubert and Shreve (1992:13) put it, a model "asserts something about empirical (translational) reality which the researcher intends to prove." Thus it is not arbitrary to the extent that it is actually rooted in the translational reality it attempts to describe and explain. Description logically precedes

explanation. This means that no uniformity should be expected in the scientific development of translation studies as an independent discipline. Some descriptive insights into complex translational phenomena may be difficult to apply, for conceptual or methodological reasons. Thus, within one single integrated translational framework, or model, different approaches can be found at different stages of development: some may be still describing their portion of the subject-matter while others may be already attempting to formulate full-fledged explanations. However, whatever their degree of development, all approaches go through the two epistemological stages we discussed above: i.e., first, they reach the results of each research endeavor individually and later on they are to be studied within the background of the whole integrated proposal.

Theoretically speaking, the point of departure for my integrative endeavor is Holmes' (1988d) proposal to distribute translation studies into pure and applied branches, and specifically the way he distributes descriptive translation studies into product-, process-, and function-oriented research approaches. My perception is that these research interests can clearly complement each other if they are put into a coherent holistic framework like the one I am devising here. Thus, modern translation trends can be 'read' anew as part of an integrated and autonomous discipline as follows: product-oriented studies (basically all linguistically-oriented approaches that consider 'equivalence' as an unavoidable and crucial translational concept linking SLT and TLT), function-oriented approaches (many of the culture/literature-oriented approaches, especially polysystem theory, the manipulation group, skopos theory, translational action, and postcolonial translation studies that are concerned with the reception of translation within the TL socio-cultural context, taking into account the effect on the TL readership), and process-oriented approaches (philosophically-oriented approaches –whether hermeneutic, deconstructionist, or poststructuralist–, as well as 'truly' cognitively-oriented ones that focus their research interest on the comprehension and interpretation process of SLT by both translators and TL readers and on the mental processes that may be taking place). Besides, instead of 'pure' and 'applied' branches of Translation Studies, a terminology clearly reminiscent of the so-called 'exact sciences', I would propose to call them 'theoretical' and 'practical' endeavors, respectively, the reason being that exclusively 'pure' research endeavors

that do not take into account the reality of translating can be of very limited use for advancing the discipline. Furthermore, all practical translational endeavors (e.g. translators' training and translation quality assessment) necessarily have a theoretical foundation, albeit not always at the highest level of conceptual elaboration.

A thorough revision of most linguistically-oriented approaches indicates that most of them do not address the literary text because of its complexity, or simply because they consider that it should be studied by literary scholars. The literary text type has the advantage of activating almost all of the characteristics (a wide range of dialectal, sociolectal, and technolectal varieties) that one traditionally finds in non-literary texts, e.g., everyday conversations and technical-scientific texts. In addition, it presents a very complex narrative structure that allows for a particular time and place structure that helps to create a fictional world where the voices of both characters and narrator interact. Thus, literary texts are particularly suitable for translational textual analysis (description and explanation) because they 'condense', so to speak, the main textual features to be found in other text types. Within this methodological approach, I should also point out that DTM is a kind of blueprint or 'map' for carrying out the description of translational equivalence choices that are not necessarily activated equally in every text type and the corresponding text tokens. Therefore, a textual case by case approach should be implemented within the overall integrated proposal, allowing for the activation of the different relevant translational aspects. On the other hand, a holistic and integrated approach that supports the autonomous nature of Translation Studies as an independent discipline should be able to account for any text type, from technical-pragmatic texts to literary texts.

The thesis has been organized in four chapters. In Chapter 1, I begin by discussing why linguistically-and-culture/literature-oriented translational approaches have traditionally been considered opposite and not complementary research endeavors. Then, I characterize linguistic empirically-oriented approaches by pointing out the not very well-known fact that linguistics has generally shown little interest in translation; that the Leipzig School played a crucial role in studying translation systematically from a linguistic viewpoint, and the fact that some linguistic approaches did recognize the importance of extralinguistic factors in translation. I also discuss the place linguistic translation studies can occupy in

Holmes' Descriptive Translation Studies (DTS) as product-oriented translational research, side by side with process- and function-oriented research agendas. I also deal with some crucial aspects of the controversial topic of the scientific status of linguistic translation studies. In the second part of the chapter, I discuss two current critiques of these linguistic approaches: one of them concerns the empirical nature of translation studies, and the other, the linguistic nature of translation.

In Chapter 2 I make a detailed presentation of what I think are the most important culture-and-literature-oriented translational approaches: Descriptive Translation Studies (DTS), Polysystem Theory, and the Manipulation Group; Skopos theory and translational action; the hermeneutic approach; deconstructionist and poststructural approaches; and postcolonial translation studies, gender studies, and cannibalism. In the first part of each section I have presented, not my own interpretation, but what the protagonists of each of these translational trends have actually said about the key aspects of their corresponding approaches. What I have done is to articulate their views into a coherent network. In the second part of each section I have put together most of the critical issues different authors have raised with regard to these translational insights, allowing them to voice their criticisms in their own words. At the end of each section I discuss my own critical views regarding each of these approaches.

Once the main tenets of both linguistically- and culture/literature-oriented translational approaches have been clearly understood, Chapter 3 discusses the key aspects of a holistic integrated approach. In order to better present an integrated framework or approach, it is relevant to go back first of all to the discussion I introduced in Chapter 1 on Holmes' differentiation of the discipline; then I make a brief analysis of several positions for and against an integrated approach; I discuss one of the earliest and better-known attempts to formulate an integrated insight on translation studies, Snell-Hornby's (1988); and finally, as a preliminary to presenting my proposal in the next chapter, I deem it necessary to consider some of the most remarkable aspects distinguishing literary texts from the so-called pragmatic or specialized texts, and the way some of the main tenets of literary translation have been defended and attacked.

Chapter 4 is devoted to presenting my proposal of a Dynamic Translation Model. It is clear that in order to design the model, I have drawn on the main contributions made by linguistically-oriented approaches in discussing the key concept of translation equivalence, and the early reflection by representatives of the Leipzig School on the communicative nature of translating, this time including, obviously, both linguistic and extralinguistic factors. I have also taken into account some of the key issues discussed in culture-and-literature-oriented translation studies, especially the socio-historical value translations acquire in target cultures receiving the rewritings of translations (Descriptive Translation Studies), the role played in translational action by commissioner, translator, and target readership (skopos theory), the importance of the translator's individual and subjective understanding and interpreting processes (hermeneutic approach), the understanding that meaning in translation is a complex and always dynamic phenomenon in the making in receivers' minds according to their personal experience (deconstructionist and poststructuralist stances), and that translation is always a power-related activity where traditional domination, colonizing schemes can be reproduced, reinforced, denounced and fought against (postcolonial approaches, gender studies, and cannibalism). However, the input received from these translation approaches is not sufficient for my proposal. As I develop the dynamic translation model, it will be evident that I also resort to concepts developed in other disciplines such as text linguistics, literary theory, contrastive textology, sociolinguistics, stylistics, pragmatics, and semiotics. Thus, it will be clear that within this interdisciplinary approach each discipline I draw on does actually provide some additional insight towards designing my integrated translational approach.

In terms of the organization of the chapter, I first discuss the definition of a translational model and the focus of translational models on texts, process or translator; then I describe the overall structure and functioning of DTM, taking into account its three mutually-interconnected levels: historico-cultural context, intercultural bilingual communicative process and participants therein, and textualization. At the first level, that of the historico-cultural context, the following key concepts are discussed: cultural, linguistic, and translational norms; and equivalence. A new framework for the analysis of translational norms is envisioned

and the concept of Compulsory Translational Forces (CTF), which embraces both Target Language Valid Translational Norms (TL-VTN) and Initiator's Translational Instructions (ITI), is proposed. Because of its controversial status, the concept of 'equivalence' is thoroughly discussed within the socio-cultural framework I devise, taking into account the proposed concept of translational norms, so that it is not a 'static' concept anymore, but a 'dynamic' one. I also discuss a typical misunderstanding concerning the notion of 'equivalence' as a mathematical concept. Likewise, I present different equivalence approaches with the corresponding criticism. Finally, equivalence is discussed within a communicative-pragmatically-oriented DTM and the concept of Default Equivalence Position (DEP) is proposed, in order to help differentiate translations conceptually from non-translations (adaptations, summaries, parodies, etc.) and as a useful methodological tool to describe SLT and TLT equivalence discrepancies. At the second level, I characterize the different participants in the translational communicative process –initiator, author/sender, translator (SL receiver and TL sender), and TL receiver– and their influence on the translation process. With regard to the role played by the initiator in translating, the concept of Initiator's Translational Instructions (ITI) has been proposed to help to explain, together with translational norms (TL-VTN), cases where the translator deviates from DEP and produces non-translations. Finally, at the third level, I discuss the verbalization process in which an SLT author produces a text according to a text proto-type available in his language with a specific illocutionary force that reflects his communicative purpose and is linguistically materialized in what I propose to call Textual Illocutionary Indicators (TII). This helps us to understand the fact that the textual pragmatic dimension is the guiding parameter, the highest directive, for the translator to produce translations, i.e. establish equivalences by following a DEP that dictates how the other textual dimensions should be organized: semantic, stylistic, and semiotic. Of course, this guiding pragmatic parameter that attempts to reproduce the original author's communicative intention actually verbalized in SLT by following a DEP can be overridden by the TL valid translational norms and ITI, in which case a non-translation (e.g. adaptation, summary, parody, etc.) will probably be produced.

The book ends with some conclusions drawn from my attempt to design an integrated translational approach in the form of a Dynamic Translation Model. I highlight the theoretical progress in this direction which this holistic endeavor makes possible for the discipline of translation studies, as well as the limitations of this approach, and I attempt to provide some insights as to future developments in this research orientation.

1 Theoretical Background: Translation Approaches

In order to properly locate my interest in developing an integrated approach which would combine apparently irreconcilable translation approaches, i.e. linguistically- vs. culture-and-literature-oriented ones, it is necessary to present a general and thorough –but obviously not exhaustive– overview of modern translation trends. Before I discuss these different approaches, let me review some ‘classic’ proposals for organizing modern translation trends. It is of crucial importance, first, to verify if there is an overall agreement on the different trends identified in such main representative works of the discipline as readers and introductions to translation studies and, second, if authors coincide in their labeling of these several contributions and trends. Likewise, for the purposes of this work it is also important to see to what extent the different proposals exclude or integrate diverse linguistic and non-linguistic approaches and whether any explicit criteria are discussed in this respect.

L. Venuti (2000) in *The Translation Studies Reader* presents some texts by the most representative authors of the twentieth century according to a chronological division and an apparently unifying topic or interest. The first period (1900s-1930s) includes W. Benjamin, E. Pound, J. L. Borges, J. Ortega y Gasset, and is characterized by the key assumption which affirms “the autonomy of translation, its status as a text in its own right, derivative but nonetheless independent as a work of signification” (ibid: 11). The second period (1940s-1950s) shows the work of Nabokov, J-P. Vinay and J. Darbelnet, W. V. O. Quine, and R. Jakobson, and “is dominated by the fundamental issue of translatability” (ibid: 67). The third period (1960s-1970s) deals with proposals made by E. Nida, J.C. Catford, J. Levý, K. Reiss, J. S. Holmes, G. Steiner, I. Even-Zohar, and G. Toury; and Venuti points out that “the controlling concept for most translation theory during these decades is equivalence” (ibid: 121). The fourth period (1980s) discusses the works of H. J. Vermeer, A. Lefevere, W. Frawley, Ph. E. Lewis, A. Berman, Sh. Blum-Kulka, and L. Chamberlain. Here, according to Venuti, “Approaches informed by semiotics,

discourse analysis, and poststructuralist textual theory display important conceptual and methodological differences, but they nonetheless agree that translation is a different form of writing, distinct from the foreign text and from texts originally written in the translation language” (ibid: 215). Finally, the fifth period (1990s) includes papers by A. Brisset, E-A. Gutt, G. Ch. Spivak, K. A. Appiah, B. Hatim and I. Mason, K. Harvey, and L. Venuti and here “Culturally oriented research tends to be philosophically skeptical and politically engaged, so it inevitably questions the claim of scientific objectivity in empirically oriented work which focuses on forms of description and classification, whether linguistic, experimental, or historical” (ibid: 333).

Since its publication, Venuti’s *Reader* has been a necessary and unavoidable point of reference for translation studies in the English-speaking community. However, one notices that some authors who do not follow the culturally-oriented research trend have not been included, notably O. Kade, W. Wilss, W. Koller and J. House in Germany, G. Mounin in France, P. Newmark in England, A. Fedorov, L. Barkhudarov, V. N. Komissarov, and A. D. Shveitser in Russia. This imbalance in Venuti’s selection of authors included in the *Reader* reduces the possibility of seeing the whole picture about the different topics dealt with in each period. For instance, it is hard to see how one is to gain a full understanding of the role played by the concept of *equivalence* in modern translation theory if only a partial view of the issue is presented. Nor can one see the points of encounter that exist between the different translation theories beyond the simple chronological boundaries which are artificially established here. In F. Reiner’s terms, “the study of the theory of translation does not appear as a field of research but as an archipelago with many islands and no bridges” (1989: 5). Flora Amos (1920), quoted by Reiner, had already expressed this same idea clearly at the beginning of the last century:

The history of the theory of translation is by no means a record of easily distinguishable, orderly progression. It shows an odd lack of continuity. Those who give rules for translation ignore, in the great majority of cases, the contribution of their predecessors and contemporaries (Reiner 1989: 4).

Another classic work in translation studies is the *Routledge Encyclopedia of Translation Studies* (1998), edited by Mona Baker in collaboration with Kirsten Malmkjaer. It includes two parts: a general one and a historical one. In the first part (the general one) there appear the different entries related to translation studies in alphabetical order. Here one finds a brief but useful presentation of the most important trends in modern translation studies: the theory of ‘translational action’, communicative functional approaches, discourse analysis and translation, game theory and translation, hermeneutic motion, ideology and translation, the interpretive approach, linguistic approaches, literal approaches, literary translation, poetics of translation, polysystem theory, pragmatics and translation, psycholinguistic/cognitive approaches, semiotic approaches, text linguistics and translation.

However, from the reading of these entries related to modern translation approaches one is not necessarily able to establish the corresponding intertextual links between them, i.e. how they are conceptually related and articulated. For instance, at the end of “Game theory and translation” there is no link to “Literary translation”; and “Literary translation” has no link to “Polysystem theory”, even though they are clearly and explicitly related by the authors quoted in both entries. In short, the average reader of the *Encyclopedia* can only with difficulty –if at all– achieve a sound understanding of the intertextual relationships which allow one to see similarities and differences beyond the individual characterization of each translation trend. To use Renner’s metaphor, one continues to see the archipelago with many islands, but no bridges between them. The second part of the *Encyclopedia* is devoted to “History and Traditions”, organized according to the criterion of the traditions’ worldwide geographical distribution.

In the German-speaking world, M. Snell-Hornby, H. G. Hönl, P. Kußmaul and P. A. Schmitt edited *Handbuch Translation* (1999), a wide-ranging textbook made up of seven chapters which cover practical and theoretical translation issues: professional practice and training, the scientific foundations of translation studies, aspects of translation and translating¹, specific aspects of interpreting, didactic aspects, and assessment of translation products. The second chapter, on the scientific

¹ The term “translation” implies a more specific focus on the product, while “translating” implies focussing on the process.

foundations of translation studies, presents some definitions of translation, a historical overview, translation studies or *translatology* (*Translationswissenschaft*) as an interdiscipline with two subdivisions –the linguistic and the literary dimension– independent models, other perspectives, and automatic translation models.

In the section devoted to the linguistic aspects of translation there are no specific translation approaches or trends. In each subsection, e.g., the sections devoted to semantics, pragmatics, text linguistics, psycholinguistics, etc., the relevance of each linguistic aspect for translation is dealt with, but the common denominator of linguistic translation approaches, which is the notion of equivalence, is not discussed in this section. On the other hand, the section on the literary aspects of translation does present four translation approaches: the philological-historical tradition, Descriptive Translation Studies, deconstruction, and postcolonialism. The only two models with independent status mentioned in the next section are skopos theory (*Skopostheorie*) and translational action (*Translatorisches Handeln*). The other perspectives (“*Andere Perspektiven*”) depicted are intercultural communication, the philosophy of language, cognitive studies, semiotics, brain physiology, and feminist aspects.

The reader of the manual may get the impression that there are no linguistic models of translation, as none are specifically mentioned. Linguistically-oriented proposals made by Catford, Mounin, Bell, Kade, Jäger, Nida, House, Wilss, Koller, etc., have been simply omitted. Nor is it very clear either why skopos theory and translational action are the only theories with independent status.

Let me finish this brief review with Jeremy Munday’s *Introducing Translation Studies. Theories and Applications* (2001). The book is divided into eleven chapters, ranging from “Main issues of translation studies” through “Translation theory before the twentieth century” to “Translation studies as an interdiscipline”. In terms of what concerns us here, i.e. the presentation of modern translation trends or approaches in an integrated endeavor, Munday identifies and describes equivalence-oriented approaches, the translation shift approach, functional theories of translation, discourse and register analysis approaches, systems theories, varieties of cultural studies, translating the foreign: the (in)visibility of translation, philosophical theories of translation, and translation studies as an interdiscipline.

I consider Munday's to be one of the most balanced and state-of-the-art introductions to translation studies. He does include authors such as Jakobson, Nida, Newmark, Koller, Vinay and Darbelnet, Catford, and House whose works are generally dealt with only partially in other introductions to the discipline, as we have seen. Munday also took care to include in his theoretical review –albeit in a cursory form– some of the key representatives of Russian translatology: Fedorov, Komissarov, and Shveitser.

This review of some classic introductions to translation studies reveals that there is no complete agreement on the trends considered to be of paramount importance for the discipline, nor are there any explicit attempts to integrate them. However, popular trends, which have 'proper names' such as Descriptive Translation Studies, the School of Manipulation, and Skopos Theory, are readily recognized and mentioned in almost all introductory accounts. Linguistic contributions, on the other hand, when discussed at all, occupy a peripheral position. Any reader interested in modern translation studies has to resort to these introductions to the discipline, manuals and readers, if he wishes to make sense of the huge amount of information that is being published worldwide at a very rapid pace². Otherwise, the chaos that appears at first sight might prevent the uninitiated from looking any further into the discipline.

This diversity of approaches or trends reflects a fundamental fact: translation studies, or *translatology*, is a discipline still in the making³. K. Kaindl (1997) refers to this evolving situation in translation studies when he says that "the development of translation studies is mostly implicit in the preparadigmatic phase, as there is no one unifying paradigm" (ibid: 226)⁴. New trends have been emerging as a cognitive need to explain the complexity of translation. Toury (1995) also points out that translation

² J. Munday also corroborates this situation: "Because of this diversity, one of the biggest problems in teaching and learning about translation studies is that much of it is dispersed across such a wide range of books and journals." (Munday 2001: 1).

³ The term "translatogy" is a calque from the German *Translatologie*, and is often used to discuss the branch of translation studies which is more specifically linguistically-oriented.

⁴ „Die Translationswissenschaft wird in ihrer Entwicklung zumeist implizit in der präparadigmatischen Phase angesiedelt, da es kein einheitliches, einziges Forschungsparadigma gibt“. (Kaindl 1997: 226). I should mention here that throughout this book, the translations of quotations from texts not originally in English are mine.

paradigms are “remarkably heterogeneous” and sometimes considered to be “mere alternative ways of dealing with the same thing.” (Toury 1995: 23).

However, as one proceeds to focus on each new aspect dealt with in translation studies, one tends to make it absolute, i.e. to think that, paraphrasing Toury, they are not dealing with “the same thing”. For instance, when it was realized in the early 70s that translating involved at least two language systems, a comparative linguistic approach emerged which ‘magnified’, so to speak, this aspect of language comparison and ‘obscured’ other pragmatic factors such as the speaker’s intention and the effect of the message on the receiver, the cultural context surrounding the communicative act taking place, the materialization of the translational interaction in texts, etc. As I see it, in this early stage of translation studies, each new research perspective, implicitly or explicitly, claims to describe or to explain the *total* phenomenon of translation. And this is a fundamental mistake. Or, on the other hand, as Toury seems to imply, different paradigms claim not to be dealing with the same thing. Thus, these individual efforts, despite their degree of elaboration and detail, are bound to fail if they are not integrated into a holistic approach. And this is precisely what I intend to do in this work. Epistemologically speaking, I would say that a dialectical move is called for in translation studies in order to further develop the discipline: once a new approach is worked out, it should be integrated and located within the whole field. Thus a new insight into the proposed approach is gained, and the discipline moves ahead dynamically and continuously into its forming and delimitation. The Dynamic Translation Model I am proposing is a kind of ‘map’ in this direction.

1.1 Two apparently irreconcilable approaches: linguistically- vs. culture-and-literature-oriented

In this section, I propose to classify the different translation approaches in two broad categories: linguistically- and culture/literature-oriented approaches⁵. This allows us to work at two levels of abstraction. At the first level, several approaches, such as

⁵ A conceptually similar distinction can be found in other authors (Snell-Hornby 1988: 14; Ch. Nord 1997: 43) who use the term ‘functional studies’ to refer to ‘culture-and-literature-oriented approaches’.

those mentioned in some of the classic introductions to the discipline, are distinguished taking into account the chronological order in which authors make their contributions or based on the main topics they deal with. At the second level, certain features of these different approaches are isolated which allow us to distinguish these two broad categories. In other words, an attempt is made to see whether, despite their differences, these approaches do have some common elements. Even though we can obscure some minor differences, we can also gain a better understanding of the situation in modern translation studies, thereby avoiding the ‘fragmentation’ Munday (2001: 195) refers to⁶. Once this general picture is understood, then we can move on to work out the distinguishing details of each individual approach.

Perhaps the first author to point out these two opposing orientations in translation studies was J. Holmes (1988). He reflected on the detrimental consequences this situation would have for the development of the discipline of translation studies, which was just taking shape at that time. He also saw the ‘linguistic’ problem of lack of communication between linguists and literary scholars⁷ (which, I would add, was to grow more acute in the following years), and –a fact which I consider of utmost importance– the need to integrate what scholars on either side had to say.

A decade later, L. Venuti (1998) again distinguished the two opposite approaches which Holmes had already noted in translation studies: linguistics-based and aesthetics-based. The former strives to construct an empirical science, whereas the latter “emphasizes the cultural and political values in forming translation practice and research.” (Venuti 1988: 8).

What is to be noted here is that the consequences of the situation initially depicted by Holmes are still with us. As we will see in the next section, linguists and literary scholars still seem to be speaking two different dialects of the same language;

⁶ “This truly interdisciplinary approach may enable translation studies to play a leading role in universities, but there is also a counter-tendency towards fragmentation with cultural and linguistic approaches opposing each other”. (Munday 2001: 195).

⁷ “One of the major obstacles to the development of a sound and comprehensive general theory of translation has been the inability of scholars in various fields to communicate with each other. Linguists and literary scholars speak very different academic dialects, and most of either type of scholar would seem unable to move outside their one discipline, with its specific norms, codes, concerns, and rigours, far enough to be able to ‘translate’ and integrate what scholars in the other discipline are saying” (Holmes 1988d: 99).

they also seem unable to move outside their own disciplinary boundaries, and no major efforts towards an integrated general translation theory have been made.

In methodological terms, one can also still see a broad dichotomy between the linguistic, empirically-oriented approach on the one hand, and the culture-, aesthetics- (literature-)-oriented approach on the other hand. According to Kaindl (1997), the former approach would adopt, as its name implies, an empirical method, akin to the one used in natural sciences; the latter approach, on the contrary, would resort to a hermeneutic method, typical of the human sciences. I agree with Kaindl that this dichotomy is “neither meaningful nor theoretically and scientifically tenable” (ibid: 235)⁸.

1.1.1 Linguistic empirically-oriented approaches

In this section I discuss the clear and generalized lack of interest linguistics has shown in dealing with translation, the first attempts to study translation within a sound linguistic framework in the so-called Leipzig School in Germany, the broadening of perspective to include extralinguistic aspects, the study of translation as a process and a product, Holmes’ (1988d) proposal to distribute descriptive translation studies (DTS) into product-, process-, and function-oriented studies, the empirical method in linguistic and cognitive approaches, and an assessment of their scientific status.

1.1.1.1 Linguistics’ lack of interest in translation

One of the first authors to call attention to the fact that linguists had not concerned themselves with the study of translation was the French linguist and translologist G. Mounin. He reviewed some of the ‘classic’ works in linguistics by such authors as Saussure, Jespersen, Sapir, Bloomfield, especially in the initial stage of the field’s development, when it was establishing itself as a scientific discipline, and observed

⁸ „Eine Dichotomie, zwischen empirisch-naturwissenschaftlichen einerseits und hermeneutisch-geisteswissenschaftlichen Methoden andererseits, wie sie durch einen wie oben beschriebenen Forschungsansatz erzeugt wird, ist weder sinnvoll noch wissenschaftstheoretisch haltbar“. (Kaindl 1997: 235).

how little interest had been shown in translation, so that “the sum total of these remarks [on translation] would hardly amount to a single page” (Mounin 1963/1971: 25, 26)⁹.

A decade later in Germany, J. Albrecht (1973) points in the same direction in his pioneering work *Linguistik und Übersetzung (Linguistics and Translation)*. According to him, it has become a commonplace in the literature on translatology “to regret or to confirm in astonishment that so far linguistics has barely dealt with translation problems.” (ibid: 1)¹⁰

More recently, *Linguistics*, one of the leading journals in this discipline, devoted a whole issue to translation problems. In the *Introduction* to this issue, M. Doherty (1996) mentions again this lack of interest in translation on the part of linguists, and justifies the place translation should have among linguistic studies. This issue of *Linguistics* attempts to prove that “translational problems are, to a large extent, genuine linguistic problems of a special type that has not yet been dealt with within linguistics systematically” (ibid: 441).

Monika Doherty’s argument that translation can (and should) be studied within linguistics had already been expressed by Russian linguist and translologist Andrei Federov (1953), one of the few exceptions in this respect at the time. He acknowledged that, “in so far as translation always has to do with language and it always means work on language, then it should also be studied from a *linguistic* viewpoint” (ibid: 13)¹¹. Even in the case of literary translation, it is necessary to study

⁹ “La traducción, como fenómeno y como problema especial del lenguaje, ha sido silenciada. En Ferdinand de Saussure, en Jespersen, en Sapir y en Bloomfield, es difícil observar más de cuatro o cinco menciones episódicas, en las que el hecho de la traducción interviene de manera marginal, en apoyo de un punto de vista no relacionado con él, casi nunca por sí mismo; y en el cual el total de estas indicaciones apenas si llenaría una página” (G. Mounin 1963/1971: 25-26).

¹⁰ “Es gehört zu den Gemeinplätzen der übersetzungswissenschaftlichen Literatur zu bedauern, bzw. mit Erstaunen festzustellen, daß sich die Linguistik bisher mit den Problemen der Übersetzung kaum auseinandergesetzt habe”. (Albrecht 1973: 1).

¹¹ «Но поскольку перевод всегда имеет дело с языком, всегда означает работу над языком, настолько перевод всего больше требует изучения в лингвистическом разрезе –с связи с вопросом о характере соотношения двух языков и их стилистических средств. Боле того: изучение перевода в литературоведческой плоскости постоянно сталкивается с необходимостью рассматривать языковые явления, анализировать и оценивать языковые средства, которыми пользовались переводчики. И это естественно: ведь содержание подлинника существует не само по себе, а только с помощью языковых средств». (Fedorov 1953: 13).

it as a linguistic operation, and he clearly stated that research on the linguistic aspect of translation should be a part of translation studies (ibid).

There are no clear reasons why linguistics has not been much concerned with translation as part of its research agenda. A possible explanation has been recently provided by Russian translologist V. N. Komissarov (1999). He considers that “the dominance of structuralist ideas in linguistic science” during the first half of the twentieth century has caused this lack of interest (ibid: 12)¹².

It is clear, then, that translation theory should include research on the linguistic aspect of translation. Obviously, the structural linguistics which developed in the 60s and 70s was interested in studying language as a system, in Saussurean terms, and translation is evidently a realization of language use, i.e. a phenomenon of *la parole*. In fact, linguistically speaking, translation can be approached from a systemic view, i.e. taking into account the peculiarities of the two languages involved; additionally, it should also be studied within the framework of language use, including the linguistic product, the translated text, and the conditions of use itself within a communicative process.

1.1.1.2 The Leipzig School

In the early 60s and 70s German scholars in Leipzig devoted their efforts to exploring the peculiarities of translation, especially O. Kade, G. Jäger and A. Neubert. It is relevant to examine some of the main issues discussed by representatives of this school, not only for their contribution to translology, but because in most cases modern criticism of the linguistic approaches to translation has arisen from shortcomings in the assumptions made at this early stage of linguistic translation studies.

Initially, two fundamental aspects of translation which are now widely acknowledged in translology were recognized by these authors -its communicative and its linguistic nature. Concerning the communicative perspective, Jäger (1977) argues that translology should address the linguistic mediating processes where

“there is a communicative equivalence between SLT and TLT” (ibid: 16, 17)¹³, ignoring the processes of ‘communicative heterovalence’ between SLT and TLT.

Translation is considered in its communicative dimension: specifically, as we just saw, Jäger mentions the relationship of communicative equivalence between SLT and TLT as the defining feature of what is to be included in translatology. Nowadays, as we will see in the section devoted to cultural-literary translation theories, some authors consider that translation should also include the relationship of communicative heterovalence, i.e. when SLT and TLT do not have the same communicative value. This is a crucial point, to be dealt with also in the section devoted to equivalence, as it affects the very definition of what is to be understood as translation.

In relation to the subject matter of translatology, Jäger (ibid: 18)¹⁴ also states that it is necessary to take into consideration three aspects: first, the reality of the object; second, the other disciplines studying it as their subject matter; and third, the social goals of the science.

Concerning the first aspect, Jäger coincides with Fedorov in stressing the importance of studying the linguistic nature of *all* translation processes. With respect to the second aspect, he takes into account what is nowadays recognized as the interdisciplinary approach in translation studies, i.e. the fact that translation can be approached scientifically from different perspectives by several disciplines interested in studying it. Similarly, it is underlined that all translation processes take place within a social environment, albeit this last aspect does not belong, according to the

¹² «Отсутствие у многих языковедов интереса к переводческой проблематике в первой половине 20-го столетия способствовало преобладанию в лингвистической науке идей структурализма». (Komissarov 1999: 12).

¹³ „Wir betrachten lediglich die *Translationsprozesse*, d. h. diejenigen sprachmittlerischen Prozesse, bei denen zwischen dem quellsprachlichen und dem zielsprachlichen Text die Relation der *kommunikativen Äquivalenz* besteht, als Objekt der Übersetzungswissenschaft und schließen die sprachmittlerischen Prozesse, bei denen zwischen dem quellsprachlichen und dem zielsprachlichen Text die Relation der *kommunikativen Heterovalenz* besteht, aus dem Objektbereich der Übersetzungswissenschaft aus“. (Jäger 1977: 17).

¹⁴ „Bei der Beantwortung dieser Frage müssen drei Aspekte berücksichtigt werden: erstens die Gegebenheiten des Objekts, genauer: die zum jeweiligen Zeitpunkt der Bestimmung des Gegenstandes einer Wissenschaft *erkannten* Gegebenheiten des Objekts; zweitens die anderen Wissenschaften, die dasselbe Objekt zum Gegenstand haben; drittens die mit der betreffenden Wissenschaft in der jeweiligen Entwicklungsphase verbundenen gesellschaftlichen Zielstellungen“. (Jäger 1977: 18).

representatives of this school, to the real subject matter of translatology, which deals mainly with its linguistic nature.

O. Kade (1977:31) emphasizes the historical and social nature of translation processes and other factors affecting the translation communicative situation, as in the third aspect mentioned by Jäger above, but he also discards them as a possible subject matter of the discipline because they appear only once and in a concrete form, thereby defying any attempt to generalize them¹⁵.

The contribution of the Leipzig School to translatology is not always acknowledged in its full dimension. The communicative nature of translation and its linguistic basis had already been incorporated into the approach developed by scholars representing this school. Such extralinguistic factors as socio-historical aspects were acknowledged as issues affecting the translational communicative process. However, they were not studied scientifically because, according to the Leipzig School's conception of what translatology should be as a science, these factors occur only once, i.e. they are not recurring events, and thus no generalization can be made concerning them. This understanding of translatology can be considered nowadays as the main shortcoming of this approach. Translatology is a human science, and as such it is supposed to include and to study the contextual factors which have a bearing on the translation activity. Another disputed point has to do with the need to make predictions in translatology, similar to those one encounters in the natural sciences. The highly controversial notion of law as the materialization of a regularity which repeats itself independently from any surrounding circumstances seems to have been imported into the human sciences from the natural sciences. I will return to this issue of the scientific status of translatology, specifically as an empirical science, at the end of this chapter.

¹⁵ „Verlauf und Ergebnis der Sprachmittlung werden (wenn auch nicht immer in gleichem Maße) auch von Faktoren bestimmt, die im allgemeinen gesellschaftlichen Milieu (als historische Kategorie) begründet sind, in dem die Sprachmittlung stattfindet, sowie schließlich auch von Faktoren, die in der aktuellen Kommunikationssituation liegen. Letztere sind einmalig-konkreter Natur und können deshalb wissenschaftlich nicht verallgemeinert werden, so daß ihre Wirkung in der Kommunikationssituation bzw. auf die Sprachmittlung nicht voraussagbar ist“. (Kade 1977: 31).

1.1.1.3 Linguistic *and* extralinguistic factors

This early linguistic model of translation, developed by representatives of the Leipzig School, had a great influence on the configuration of translation studies in the 70s and 80s. A. Neubert and G. Shreve (1992) seem to summarize, under the heading of *The linguistic model of translation*, the main interests of this approach, without naming it explicitly, and describe, without acknowledging it, its principal shortcomings. For them, “The linguistic model of translation makes statements about the linguistic mechanisms involved in the transfer or replacement of source language signs by target language signs” (ibid:19). And the main limitation of this approach, as I see it, is that, in Neubert and Shreve’s terms, “it does not consider external or *extralinguistic* factors such as critical norms or the constraints of practice” (ibid).

Going back to a previous differentiation made above, one could say that this early linguistic approach to translation focused on the systemic aspect of language, i.e. on the comparison of the source language and the target language peculiarities. The immediate result of this was the elaboration of many lists of structural correspondences between source language and target language structures. Even though in their theory these authors (especially Kade and Jäger) talk about texts, they concentrate almost exclusively on the systemic linguistic level of translation equivalences. A second aspect at stake here is the lack of scientific interest –clearly justified by them– in working on the description and characterization of the contextual, extralinguistic factors involved in translation.

The need to study not only the linguistic but also the extralinguistic factors present in translation has been clearly expressed especially by Russian translato­logists. In Komissarov’s (1999) terms:

It is evident that within the framework of interlinguistic communication one should study both the process and the result of translation as well as all the set of linguistic and extralinguistic factors which

determine the possibility and nature of communication between people who speak different languages (Komissarov 1999: 41)¹⁶.

These extralinguistic factors intervening in translation as the subject matter of translatology are of diverse nature -social, cultural, and psychological (Shveitser 1988:8)¹⁷. Now, at this point one can recognize that translatology within the framework of these linguistic approaches has advanced as linguistics itself has broadened its scientific spectrum, especially since the pragmatic turn of the early 70s, when a shift of interest took place from the concern for linguistic systems to the actual realization of language use and its materialization in texts. Once this transition from a translatology focused on *la langue* towards one focused on *la parole* occurs, then a way is open for the study of the so-called extralinguistic factors which affect translating as a communicative process. As is usually the case, when a new research perspective is introduced, in this case the linguistics of language use, outsiders of the discipline are not necessarily aware of this new development, and keep on thinking in terms of the previous paradigm, i.e. they keep on viewing the linguistics of *la langue* as the only possibility for studying the linguistic nature of translating; thus, they tend to neglect or disqualify *all* linguistic approaches to translation without any further differentiation.

1.1.1.4 Linguistic translation studies within Holmes' Descriptive Translation Studies (DTS)

J. Holmes' (1988d) seminal work "The Name and Nature of Translation Studies" -originally written in 1972- is widely recognized nowadays as an essential point of reference when defining the scientific status of translation studies, especially after it was discussed by G. Toury (1995). Holmes divides translation studies into pure and applied. Pure studies are theoretical and descriptive. Applied studies have to do with

¹⁶ «Очевидно, что в рамках межъязыковой коммуникации должны изучаться и процесс, и результат перевода, вся совокупность лингвистических и экстралингвистических факторов, определяющих возможность и характер между людьми, говорящими на разных языках». (Komissarov 1999:41).

translator training, translation aids, and translation criticism. Now, theoretical studies can be general or partial, and descriptive studies can be product-, process- or function-oriented. The two main research objectives of translation studies would be 1) “to describe the phenomena of translating and translation(s) as they manifest themselves in the world of our experience, and 2) to establish general principles by means of which these phenomena can be explained and predicted” (Holmes 1988d: 71). Descriptive translation studies (DTS) would be concerned with the first objective, and theoretical translation studies or translation theory with the second one.

I think that modern translation studies in the two main branches we are discussing –linguistic and cultural-literary studies– can be adequately understood and integrated when projected onto Holmes’ ‘map’ of descriptive translation studies (DTS). First of all, product-oriented DTS start from “the description of individual translations, or text-focused translation description”, with a second phase of “comparative translation description in which a comparative analysis is made of various translations of the same text, either in a single language or in various languages” (ibid: 72).

Linguistic translation studies are basically product-oriented and, as their main concern is the actual comparison and analysis of SLT and TLT, they are also empirical. Komissarov (1999: 110)¹⁸ also considers that the objective factual data for theoretical generalizations are provided by the corpus of original and translated texts collected by the researcher. Thus, the main goal of translatology is descriptive, not prescriptive, and consists in describing real translational facts. From a similar perspective, Wilss (1977: 55) had also pointed out, two decades before, “The task of translatology as an empirical science is to describe and explain concrete translation products.”¹⁹

¹⁷ «Именно поэтому в предмет развиваемой в данной книге теории перевода входит процесс перевода в широком социокультурном контексте с учетом влияющих на него внеязыковых факторов –его социальных, культурных и психологических детерминантов». (Shveitser 1988: 8).

¹⁸ «Полевым материалом» для исследования служат тексты оригинала и перевода, сопоставление которых дает объективные фактические данные для последующих теоретических обобщений. Таким образом, изучение перевода ставит своей целью, в первую очередь, описание реальных переводческих фактов, то есть носит дескриптивный, а не прескриптивный характер». (Komissarov 1999: 110).

¹⁹ „Die Aufgabe der Übersetzungswissenschaft als Beobachtungswissenschaft ist die Beschreibung und Erklärung konkreter Übersetzungsereignisse“. (Wilss 1977: 55).

W. Koller (1993: 50)²⁰ also sees the task of an empirical translatology as the description of the relationship between SLT and TLT. He emphasizes the need to examine this relationship because it is of paramount importance for determining whether one is actually dealing with translations or not.

On the other hand, process-oriented DTS deals with the process of translation itself, that is, “The problem of what exactly takes place in the ‘little black box’ of the translator’s ‘mind’ as he creates a new, more or less matching text in another language” (Holmes 1988d: 73). In Neubert and Shreve’s (1992: 30) words, this would correspond to the translational psycholinguistic model which isolates “the cognitive factors and language processing strategies which characterize translation. The primary research question is: *What goes on in the mind of the translator?*” Some research has been carried out in this area using the so-called Think Aloud Protocols (TAP) (cf. Jääskeläinen 2002), which attempt to capture what goes on in the translators’ minds as they perform their task. This cognitive research approach is also empirical to the extent that it deals with the collection of real language records of translators’ mental processes. However, in this case the main focus of research is not language *per se*, but mental processes themselves. Thus, language is seen as a means to obtain valuable data which reflect what goes on in translators’ minds.

Finally, function-oriented DTS does not concern itself with the description of translations but with “the description of their function in the reciprocal socio-cultural situation: it is the study of contexts rather than texts [...] Greater emphasis on it could lead to the development of the field of translation sociology” (Holmes 1988d: 72). Clearly, function-oriented DTS would embrace what I have called here culture-and-literature-oriented translation studies. Even though Holmes claimed that “translation studies is, as no one I suppose would deny, an empirical science” (ibid: 71), I consider that this empirical nature of the function-oriented studies is not clearly established; this is tellingly demonstrated by certain open claims which deny the empirical nature of this branch of translation studies, ascribing it instead exclusively to the linguistics-oriented branch (cf. Venuti *infra*).

²⁰ „Als *empirische* Wissenschaft muß die Übersetzung angeben können, welche Beziehung zwischen ausgangssprachlichen Texten und zielsprachlichen Texten bestehen muß, damit letztere als Übersetzungen zu ihrem Gegenstandsbereich gehören“. (Koller 1993: 50).

Holmes (1988d: 79) also elaborated on the dialectical relationship that exists between the three branches of translation studies: theoretical, descriptive and applied. I fully agree with Toury's claim that "whether an *individual* study is process-, product-, or function-oriented (and all three types will no doubt always be performed), when it comes to the *institutional* level, that of the discipline as a whole, the program must aspire to lay bare the *interdependencies* of all three aspects if we are ever to gain true insight into the intricacies of translational phenomena, and to do so within one unified (inter)discipline" (Toury 1995: 11). However, I disagree with his interpretation of these interdependencies between the three branches, when he specifically says that "there is no real point in a product-oriented study without taking into account questions pertaining to the determining force of its intended function and to the strategies governed by the norms of establishing a 'proper' product. Similarly, there is little point in process-oriented study of whatever type, unless the cultural-semiotic conditions under which it occurs are incorporated into it" (ibid: 13).

I think Toury is confusing here the object and the subject matter of translation studies. The object, i.e. translating and translation, presents itself as a multifarious piece of reality which, due to its inherent complexity, cannot be apprehended and fully studied from a single perspective. Therefore, diverse approaches are called for in order to study it legitimately as a scientific subject matter, each with one particular emphasis: on the product, on the process, or on the function. He explicitly agrees on this same idea when he states that "it is certainly true that three approaches –function-, process- and product-oriented- are not just possible, but justified too, and that each one of them delimits a legitimate field of study of its own" (ibid: 11). However, he further says:

To regard the three fields as autonomous, however, is a sure recipe for reducing individual studies to superficial descriptions [...] Once *explanations* are also sought -and no serious study can afford to do without them- the picture is bound to change considerably, for no explanatory hypothesis which is even remotely satisfactory can be formulated unless all three aspects are brought to bear on each other (Toury 1995: 11).

Toury clearly favors a functional approach to translation studies, a legitimate and justified endeavor; however, in so doing, he dismisses and discards as pointless

those scientific efforts which focus not on the translation function but on its product or its process. This he justifies by stating that “*explanations* are also sought”. From the epistemological point of view, I consider that each scientific orientation on translation can be brought to the foreground with its own research objectives, i.e. description and/or explanation. It is as legitimate to focus on the translation product or process in order to describe *and* explain it, as it is to deal with its function in a given socio-historically determined community in order to attempt to describe *and* explain it. Thus, I challenge Toury’s deterministic interpretation of this interdependency where function-oriented studies acquire an ontological primacy which seems to follow not from the object’s real complexity but from the researcher’s delimitation of his subject matter. Furthermore, from the methodological point of view it is not clear either how one can actually advance in the research efforts of any one given translational orientation if whatever is found necessarily has to be incorporated into the “cultural semiotic conditions.” As I see it, from a methodological perspective, there are at least two phases in research, which obviously can co-occur. The initial phase corresponds to the advances in one specific translation research orientation (product-, process, or function-oriented). It is scientifically legitimate and justified to carry out studies in each area according to the researchers’ own diverse interests. I think that at present scholars in translation studies are following this path gradually and sometimes painstakingly, and their contributions in each research orientation are becoming part of mainstream literature in this discipline.

However, if one takes Toury’s claims at face value, the development of translation studies as a discipline can be hampered in this first research phase, as all branches of the field which are not function-oriented can be readily dismissed as pointless and unworthy. As I see it, the second phase in translation research attempts precisely to integrate the results obtained in each study orientation. In other words, the input for further development of the discipline will be provided by descriptions attained by studying translation products, processes, *and* functions. The nature of this second phase is not basically descriptive, as was the first one. Rather, it will attempt to be explanatory. At this point, it will be totally legitimate to foreground any one perspective in translation research. Of course, the explanations provided will gain in soundness as clear links are established with the other research orientations. One of

the main goals of this book is precisely to provide some theoretical background, materialized in a translation model, a kind of ‘map’, which helps us to see the integrative links that can be established between the different translation approaches (product-, process-, and function-oriented).

As pointed out by G. Thome (1990) more than a decade ago, translation studies “still shows a great need for theoretical foundation and consolidation” (ibid: 1)²¹. I think Holmes’ conceptual map about the different orientations for research in translatology is still fully valid as a point of reference. However, Toury’s interpretation of Holmes’ descriptive translation studies established a bias in favor of function-oriented research efforts, not originally intended by Holmes. Despite the fact that Toury’s contribution to DTS has been paramount for granting a scientific status to the discipline by stressing its empirical nature, it has also hindered the development, recognition and legitimating of process- and especially product-oriented studies, which can and should also be carried out in order to better understand the complex reality of translating. Thus, the ‘sociology of translation’ (function-oriented studies in Holmes’ terms) cannot and indeed does not exhaust the scientific possibilities of apprehending the nature of translating (as a series of communicative and cognitive processes) and translation (as a text linguistic product).

1.1.1.5 Scientific status of linguistic translation studies

The first characteristic to be noted about the linguistic empirical studies is that, as stated above, they are descriptive and not prescriptive. Their descriptive nature implies that they “draw generalizations as a result of the observation of real facts” (Komissarov 1999:8)²²; in this case these real facts are texts. Linguistic empirical studies are not prescriptive because they do not claim to tell how translations *should* be carried out. In Koller’s terms, “[...] the task of translation theory [...] cannot under any circumstances consist in prescribing to translators how they should

²¹ „Es kann kaum verwundern, daß die Übersetzungswissenschaft, die erst in den letzten drei Jahrzehnten zu einer eigenen wissenschaftlichen Disziplin geworden ist, einen unverändert hohen Bedarf an theoretischer Fundierung und Konsolidierung zeigt“. (Thome 1990: 1).

²² «[...] выводятся в результате обобщения реально наблюдаемых фактов». (Komissarov 1999: 8).

translate, nor in providing them with a –or even worse, *the-* theoretical conception as a guideline for carrying out their practical work” (Koller 1992: 13)²³.

Another fundamental feature of this kind of studies is that they attempt to go beyond the simple formulation of elaborate and elegant theoretical models with no connection to translation facts. In this respect, P. Kussmaul (1990) has pointed out that “empirical research has always been called for [...], above all in text linguistics [...]”, even though this kind of research “implies first of all arduous work, before it becomes intellectually stimulating” (ibid: 369)²⁴. Dealing with texts (SLT and TLT), examining their correspondences and discrepancies is a very painstaking, but necessary labor, if sound -not exclusively speculative- general statements about a translation are to be made.

G. Shreve (1997) aptly clarifies that “the recent development of an empirical direction in translation studies does not mean that all inquiry into translation should be scientific and empirical” (ibid: 41). And he makes room for non-scientific, non-empirical “cultural, literary, and linguistic approaches to translation” (ibid: 41). Shreve’s conception of an empirical study involves “both reliance on observational (empirical) data and a focus on the discovery and explanation of general patterns in a body of observed data” (ibid: 42). He does not explain why he excludes linguistic approaches from empirical translation studies, but he explicitly refers to Jäger’s and Catford’s approaches²⁵ which are related to systemic linguistic studies and not to modern text linguistic studies interested in language use. As seen above, Koller and Komissarov do consider that texts (SLT and TLT) are the data (the empirical input) to be studied in linguistic translation studies. Shreve has a different conception about what a science of translation should be, to the extent that he bases his claims about the foundation of such a science on “the observation of regular translation phenomena, e.g. Toury’s ‘regularities of behavior’ and the general conditions under

²³ „Es kann aber meiner Meinung nach keinesfalls Aufgabe der Übersetzungstheorie sein, den Übersetzern vorzuschreiben, wie sie zu übersetzen haben, und auch nicht, ihnen eine –oder schlimmer noch: *die* theoretische Konzeption als Richtschnur für ihre praktische Arbeit vorzugeben“ (Koller 1992: 13).

²⁴ “Weniger beliebt, obgleich immer wieder gefordert (z. B. von Wilss 1977, 137), sind empirische Untersuchungen, vor allem zur Textlinguistik. [...] während empirische Recherchen zunächst einmal mühsame Arbeit bedeuten, bevor sie intellektuell reizvoll werden“. (Kussmaul 1999: 369).

which they occur” (ibid: 44). He and Toury overemphasize the traditional view of an empirical endeavor typical of the natural sciences, i.e. the need to discover regularities of behavior or even laws, in translation studies. I think, following Koller’s and Komissarov’s views, that translation product-oriented studies, a *human* science, are empirical to the extent that their methodological approach necessarily demands the analysis of the translation textual components (SLT and TLT).

On the other hand, Koller (1992) again makes relative the stringent traditional scientific status of translation studies when he notes that “Even if translation is not a science (whatever that may mean –generally translation is spoken of as an art or as a craft, or as an art and a craft), this does not exclude that one can deal with it scientifically” (ibid: 15)²⁶. Thus, one of the main tasks of linguistic translatology as an empirical science -granted that it is a *human*, not a *natural* science-, which focuses on product-oriented research in Holmes’ terminology, is to “analyze, describe, systematize, and discuss solutions provided by translators in their translations” (ibid: 17,18)²⁷.

1.1.2 Criticism on linguistically-oriented approaches

Criticism of linguistic translation approaches can be grouped under two main headings: empirical nature of linguistic translation studies and linguistic nature of translation. The first topic has to do with the configuration of translatology as a scientific discipline, and the second one deals with the different ways researchers have understood the linguistic nature of translation and its importance.

²⁵ “The translation linguistics of Jäger (1975) and Catford (1965) sought to replicate this transformation by explaining translation as a formal system comprised of inter-systemic correspondences between two linguistic systems manifested in a text” (Shreve 1997: 56).

²⁶ „Selbst wenn das Übersetzen keine Wissenschaft ist (was immer dies behauptet haben mag -die Rede ist im allgemeinen vom Übersetzen als Kunst oder als Handwerk oder als Kunst und Handwerk), so schließt das nicht aus, daß man sich wissenschaftlich mit ihm beschäftigt“. (Koller 1992: 15).

²⁷ „Eine zentrale Aufgabe der Übersetzungswissenschaft als empirische Wissenschaft besteht darin, die Lösungen, die die Übersetzer in ihren Übersetzungen anbieten, zu analysieren, zu beschreiben, zu systematisieren und zu problematisieren“. (Koller 1992:17,18).

1.1.2.1 Empirical nature of translatology

As I said above (cf. 1.0), it is widely recognized that translation is a scientific discipline in the making. Thus, for instance, F. Grucza (1990) shares the viewpoint expressed by G. Thome (1990) with respect to the need for theoretical foundations in translatology and both also stress the fact that this is a very young discipline. Precisely because of this status as a young scientific discipline, translatology cannot provide knowledge which is scientifically proved and applicable –something which in fact no other human science is actually in a position to provide, either (Grucza 1990: 11)²⁸. Accordingly, the subject matter of translation, from an empirical perspective, would correspond to concrete actions carried out by concrete translators as well as the results of these actions (ibid: 15)²⁹. Translators' actions would reflect mental processes, in which case this kind of research would correspond, in Holmes' map, to process-oriented investigation, whereas the results of these actions (reflected in SLT and TLT) would be the subjects of product-oriented research.

However, Prunc (2001: 13) criticizes this empirical approach (proposed by Grucza, Komissarov, Koller) and the whole field of translatology as envisioned by Koller (1992) because Koller refuses to understand translatology as “a special scientific field with clear contours and a coherent methodology”, but as “an accumulation of very different approaches with only slight connections among each other”³⁰. I think the first part of Prunc's criticism about the lack of a well-defined subject matter and the absence of a coherent methodology reflects a desideratum on his part and that of all those interested in fostering the development of the subject, i.e. ideally, translation studies should already have defined its subject matter clearly, but

²⁸ „Meiner Meinung nach ist die Ü[bersetzung]w[issenschaft] eine noch überhaupt viel zu jung Wissenschaft, als daß sie schon wissenschaftlich abgesichertes applikatives Wissen liefern könnte: Streng genommen ist noch keine Humanwissenschaft in der Lage, diese Forderung zu erfüllen“. (Grucza 1990: 11).

²⁹ „Das Forschungsmaterial der Üw bilden, ähnlich wie im Fall der Linguistik, konkrete Handlungsakte konkreter Übersetzer sowie die Ergebnisse dieser Handlungen“. (Grucza 1990: 15).

³⁰ „Anhand dieser Aufstellung, die sich um zahlreiche Bereiche erweitern ließe, wird bereits deutlich, daß Koller unter Übersetzungswissenschaft keine vorhandene Fachwissenschaft mit einem klar umrissenen Gegenstandsbereich und kohärenter Methodik versteht, sondern Übersetzungswissenschaft zumindest vorläufig als Addition sehr verschiedener und z.T. nur schwer vermittelbarer Ansätze konzipiert“. (Prunc 2001:13)

it is still striving to do so. Thus, Koller is not responsible for the state of affairs we face in translation studies at present. Koller himself in his 1992/1997 *Einführung in die Übersetzungswissenschaft (Introduction to the Science of Translation)* recognized that there is a ‘crisis of legitimacy’ in the discipline (ibid: 13). The second part of Prunc’s criticism concerning the difficulty of actually relating quite different approaches to translation in a single integrated proposal is the real challenge I think translatology has to face at present. It is a concern which not just Koller but *all* students of translation have to face.

A more serious concern about the empirical nature of linguistic translation studies has been voiced, at two different moments in the development of translation studies, and within two different approaches (literary translation and hermeneutics, respectively), but in a similar direction, by F. Apel (1983) and R. Stolze (2003). Apel (1983: 25) claims that “Verifiability, as an empirical confirmation, only occurs when we have to do with the lawfulness of categories of events, whose singular cases can be repeated and observed under identical conditions”³¹. The author, as a result, states that if this empirical confirmation is doubtful when events are not repeated under identical conditions, as is the case of translation, then we cannot be certain that we are dealing with empirical studies (ibid). As I said above (cf. 1.1.1.5), the term ‘empirical studies’ used to refer to translatology is to be understood not in the traditional sense which it has in the natural sciences (the sense in which Apel is apparently using this term), but as it is used in the human sciences, where no law-like predictability is to be expected. ‘Empirical’ within the context of the human sciences has a somewhat different meaning. It refers to the fact that generalizations are based on the systematic and careful examination of available data. Empirical translation research gains in soundness and reliability to the extent that it takes into account relevant real translational samples in process-, product-, and function-oriented approaches.

On the other hand, Stolze (2003: 30), within a hermeneutic framework, criticizes Holmes’ descriptive translation studies proposal, Gile’s (1991) emphasis on observation and experiments to attain ‘real research’, as well as Koller’s and Albrecht’s discussion of an empirical translatology. She discards all these attempts to

define the scientific status of this discipline and proposes instead to ‘emancipate’ translation studies as an independent science by dealing with its primary subject matter: person-centered human translation³² (ibid). She also points out that in the different models proposed in the field (process-, action-, thought-oriented, etc), only the implicit ‘factors’ have been discussed whereas the ‘doer’ himself, the translator as a person, has been disregarded³³ (ibid:31). According to her, in an empirically-oriented science the problem of how a translator does his job and what quality standards he follows is taken for granted as unproblematic (ibid). In her hermeneutic viewpoint, Stolze considers that “translation is a relation between the translator and his text and not between a source and a target language text, between two languages or cultures, or among external interacting partners”³⁴ (ibid: 300).

Stolze is right when she points out that the translator has traditionally been moved into the background in the various empirically-oriented translation studies. However, one cannot simply accept that *all* translology has to do with the analysis of the comprehension processes translators experience when they perform their activity. Stolze’s criticism of empirically-oriented approaches thus becomes less convincing when she disregards the fact that translation also has to do with what happens between two texts (SLT and TLT), two languages, two cultures, and among external participants. Of course, it is legitimate to advocate the study of translators’ comprehension processes when they perform their tasks, but, again, the knowledge gained through this endeavor should be integrated -in a second research stage- into a larger picture of translation studies, so that the real importance of these processes can be actually assessed. Thus, Stolze’s criticism of empirically-oriented translation studies can be called into question.

³¹ „Verifizierbarkeit als empirische Bestätigung von Annahmen hat nämlich nur dort ihren Platz, wo es um die Gesetzmäßigkeit von Ereignisklassen geht, deren Einzelfälle wiederholt und unter identischen Bedingungen beobachtet werden können“. (Apel 1983: 25).

³² „Die TW kann sich vielmehr nur dann als eigenständige Wissenschaft emanzipieren, wenn sie ihrem ureigensten Gegenstand, der personenzentrierten Humantranslation gerecht wird“. (Stolze 2003: 30).

³³ „Ein wesentliches Manko der Übersetzungswissenschaft besteht unseres Erachtens nämlich darin, dass in der modellisierenden Darstellung des Übersetzungsvorgangs, -prozesses, -handelns, -denkens usw. nur auf die implizierten ‚Faktoren‘ eingegangen, aber von dem Handelnden selbst, dem Translator als Person abgesehen wird“. (Stolze 2003: 31).

³⁴ „Translation ist eine Angelegenheit zwischen dem Translator und seinem Text, und nicht zwischen einem Ausgangs- und einem Zieltext, zwischen zwei Sprachen oder Kulturen oder unter externen Handlungspartnern“. (Stolze 2003: 300).

Another author who mentions the shortcomings of empirically-oriented approaches in a rather anecdotal way is L. Venuti (1998). This author has exerted tremendous influence on today's translation studies, so his viewpoints are worth discussing. Venuti claims that "Translation research and translator training have been impeded by the prevalence of linguistics-oriented approaches that offer a truncated view of the empirical data they collect" (ibid: 1). No evidence is provided by Venuti to support this statement. Besides, as I have shown above (cf. 1.1.1.1), linguistics itself has not been greatly interested in studying translation, and it can hardly be said that precisely these linguistic studies have prevailed in translation studies. It is not clear either what Venuti means by a 'truncated view of the empirical data they collect'. He goes on and says,

Because such approaches promote scientific models for research, they remain reluctant to take into account the social values that enter into translating as well as the study of it. Research then becomes scientific, claiming to be objective or value-free, ignoring the fact that translation, like any other cultural practice, entails the creative reproduction of values. As a result, translation studies get reduced to the formulation of general theories and the description of textual features and strategies. These lines of research are not only limited in their explanatory power, but directed primarily to other academic specialists in linguistics, instead of translators or readers of translators or even specialists in other humanistic disciplines. (ibid)

Empirically-oriented approaches do not take into account 'the social values that enter into translating as well as the study of it' because they have delimited their subject matter. In Holmes' terminology, they are product-oriented, not function-oriented studies. As clarified above (cf. 1.1.14), there is room in translation studies for independent product-, process-, and function-oriented approaches in the first research stage. In the second stage, an effort at integration is called for. Venuti fails to see this distinction and dismisses product-oriented approaches for not dealing simultaneously with 'social values'. Furthermore, Venuti believes that the 'description of textual features and strategies' entails the claim of objective, value-free results and the negation of 'the creative reproduction of values'. This can, but need not, be so. The results of the analysis of textual features can -perhaps *should*- be used as evidence of the expression of some specific social values in the translated

text. I see these research agendas as complementary, not antagonistic. I agree with Venuti when he says that the explanatory power of these empirically-oriented approaches is limited. However, the explanatory power of culturally-oriented studies is also limited if it is restricted to providing only speculative statements on the social values involved in translations without taking into account some textual evidence to corroborate them.

1.1.2.2 Linguistic nature of translation

It is widely recognized that translation as a human activity is performed by translators who use a target language as a means to (re)produce a text originally written in a source language. Thus, translation itself cannot be conceived of without its linguistic nature, as it belongs to the very object one finds in reality. This basic fact was openly recognized by representatives of the Leipzig School (cf. O. Kade 1977: 29)³⁵. Other authors have claimed that translatology has lacked this linguistic foundation (D. Stein 1980: 12)³⁶, and as a result, as stated by Coseriu (1978), most of the misunderstandings and problems in this discipline are due to this lack of participation of linguistics. Most remarkably, K. Reiß (1989: 98) herself, after having collaborated with H. Vermeer to develop the so-called skopos-theory (cf. 1.1.3.2), emphasized that “Linguistics is and should always be *one* of the basic scientific disciplines in translatology, for what G. Mounin (1967: 61) stated in this respect is still valid: translating is not *only*, but it is above all always a linguistic ‘operation’ (language as a culture-bound, culture-determined means of expression, and means of communication).”³⁷

³⁵ „Die Erklärung und Beschreibung der Sprachverwendung (d. h. der Erzeugung von Texten als Kommunikaten, die Träger einer ideellen Information sind, deren Korrelat an den Text auslösender und durch den Text auslösbar Bewußtseinsinhalt ist) ist ohne Erklärung und Beschreibung der Sprache (der Mittel und der systeminhärenten Regeln der Verknüpfung dieser Mittel) nicht möglich [...]“ (Kade 1977: 29).

³⁶ “Aus welchen Gründen auch immer [...], es muß festgestellt werden, daß die Übersetzungswissenschaft ein fundierender sprachwissenschaftlicher Unterbau schlechthin weitgehend fehlt. Auch Coseriu (1978) weist darauf hin, daß die eigentliche Crux der Übersetzungswissenschaft überhaupt nicht oder nur falsch und irreführend fundiert werden können“ (Stein 1980: 12).

³⁷ „Die Sprachwissenschaft wird und muß immer *eine* der wesentlichen Grundlagenwissenschaften für die Übersetzungswissenschaft bleiben, denn was schon G. Mounin (1967:61) sinngemäß sagte, gilt noch wie vor: das Übersetzen ist nicht *nur*, aber vor allem immer eine sprachliche ‚Operation‘

Once the linguistic nature of translation is recognized, I think it is necessary to pose the question as to what relationship should exist between these two disciplines and what type of linguistics should be involved. Jäger, from the Leipzig School, pointed out that considering that the subject matter of translatology is the translation process as a manifestation of linguistic communication, whose regularities are to be described by linguistic means, then “modern translatology constitutes itself as a linguistic discipline”³⁸ (Jäger 1968: 52). Within this framework translation studies would be part of linguistics. In this way, according to Jäger, this modern translatology would differentiate itself from previous philosophical linguistic explanations and the conception of translation as the result of an artistic process (ibid). With regard to the type of linguistics to be present in translation studies, he considers that modern translation studies would recognize that a theory of bilingual translation as a mathematical theory can and should be constructed.

The scientific status scholars of the Leipzig School attempt to provide translatology with by means of mathematical-like formalization and objectivity has been severely criticized by several authors. For instance, according to F. Apel (1983: 16), this attempt at formalization and objectivity led to a reduction of variables to the extent that only pragmatic texts could be studied; form-bound texts, such as literary texts, would be excluded. When this linguistic approach to translation excludes historical variables, in so doing it is behaving like a natural science, and dealing with texts as natural objects (ibid). Apel also says that even though the Leipzig School recognized many extralinguistic factors, it understood translatology as a branch of linguistics and therefore restricted the subject matter to the study of pragmatic texts (ibid: 12).

This last deficiency in the attempt to discuss extralinguistic factors in translatology has also been voiced by Shveitser (1988: 49), who criticizes the conception of translation as simple ‘transcoding’ and the fact that “all this process seems to take place here in a vacuum”. Thus, “socio-cultural and other extralinguistic

(Sprache als kulturgebundenes, kulturgeprägtes Ausdrucksmittel und Mittel der Kommunikation, der Mitteilung)“ (Reiß 1989: 98)

³⁸ „Die moderne Üw konstituiert sich somit als eine linguistische Disziplin“. (Jäger 1968: 52).

components of translation are missing”³⁹. More recently, H. Salevsky (2002: 77) also criticizes the delimitation of linguistic translatology which ignores extralinguistic factors, and the fact that it cannot apprehend interpreting and translating processes⁴⁰.

To sum up, I think the most striking criticisms made against linguistically-oriented approaches have to do not with any modern conception of linguistics but -as seen above- with the conception expressed by representatives of the Leipzig School in the 60s and 70s. Within the context of the linguistic turn that took place in the 70s (cf. Helbig 1986) with the emergence and consolidation of disciplines such as pragmatics, sociolinguistics, psycholinguistics, discourse analysis, text linguistics, semiotics, etc., any linguist -or translologist for that matter- interested in describing and explaining translating would immediately recognize that linguistic analysis in its several branches (text linguistic, discursive, sociolinguistic, psycholinguistic, etc) cannot and does not exhaust the object of study⁴¹. Therefore, it would be recognized that translation studies is not a branch of linguistics, as representatives of the Leipzig School claimed more than three decades ago. Thus, it is also clear that due to this turn from exclusively system-based linguistics to a use-based linguistics⁴², it would be rather naive nowadays to think that extralinguistic factors are not taken into account in modern linguistics. M. Baker (2000) sees this widening of scope in the following terms: “they [linguists] gradually moved outwards from the word to the sentence, to structures above the sentence, to the text as the unit of analysis, and finally to the text as a cultural artefact embodying the values that a given culture attaches to certain practices and concepts” (ibid: 22). A similar view is shared by P. Fawcett (1997), who considers that although linguistically-oriented translation theorists “may have not taken the ‘cultural turn’ in his [Lefevere’s] meaning of ideological manipulation in translation, [...] they do not ignore the world beyond the word” (ibid: 40).

³⁹ «Кроме того, весь этот процесс здесь происходит как бы в вакууме. Отсутствуют социокультурные и другие экстралингвистические компоненты перевода». (Shveitser 1988: 49).

⁴⁰ „Kennzeichnend für die linguistische Gegenstandbestimmung ist die Unterschätzung (mitunter sogar völlige Ignorierung) außersprachlicher Faktoren der Translation. Eine rein linguistische Betrachtungsweise ist zu eng, um die Abläufe des Dolmetschens und Übersetzens erfassen zu können“. (Salevsky 2002: 77).

⁴¹ In Koller’s (1992: 17) terms: „Die sprachlich-textuelle Dimension ist nur ein Aspekt der Übersetzung“.

⁴² The relevance of extralinguistic factors was indeed also openly recognized by representatives of this school, even though they did not study such factors: „Die Beschreibung des Modellobjekts schließt

On the other hand, Holmes (1988e: 81) clearly stated that it is accurate to distinguish between product- and process- oriented studies of translation; but he also warned that scholars cannot ignore “the self-evident fact that one is the result of the other, and that the nature of the product cannot be understood without a comprehension of the nature of the process.” Or, as Hatim and Mason (1990/1997: 3) express it, “what is available for scrutiny is the end-product, the result of translation practice rather than the practice itself.” As I see it, linguistically-oriented translation studies deal with this end-product, but when it is analyzed, one proceeds retrospectively in order to reconstruct hypothetically the conditions, decisions and choices the translator had to face during the translating process. In so doing, one has to take into account communicative process-contextual (social, historical) variables as well as process-cognitive-related aspects with regard to the problem-solving activity of decoding the original (SLT) and/or coding it again in the target language (TLT).

deshalb funktional-stilistische, textlinguistische, soziolinguistische und psycholinguistische Aspekte mit ein, sie darf sich nicht auf systeminhärente strukturelle Aspekte beschränken“. (Kade 1977: 40).

2 Culture-and-literature-oriented approaches

Within the culturally-oriented approaches one can distinguish at least five orientations or trends, i.e. Descriptive Translation Studies (also polysystem theory and manipulationism), skopos theory and translational action, hermeneutics, deconstructionist-poststructuralist approaches, and postcolonial studies (also gender studies and cannibalism), which do not necessarily correspond to clearly differentiated and delimited tendencies in translation studies, but rather to a cluster of common features which are somehow shared by representatives of each approach. These approaches are top-down, methodologically speaking, and mainly function-oriented according to Holmes' terminology: they are more concerned with social, political, or ideological issues than with the linguistic equivalence-based relationship between SLT and TLT (product-oriented in Holmes' terms).

2.1 Descriptive Translation Studies (DTS), Polysystem Theory, the Manipulation Group

This translational paradigm first emerged as a coherent 'disciplinary matrix' (Hermans 1999: 11) in the 60s when James Holmes met Jirí Levý, Anton Popovic, and Miko, members of the Czechoslovak group. They established links with Itamar Even-Zohar and Gideon Toury, two researchers at Tel Aviv University, and with several Flemish academics, especially José Lambert, Raymond van den Broeck, and André Lefevere. Then three small-scale conferences took place, the first in Leuven in 1976, the second in Tel Aviv in 1978, and the third in Antwerp in 1980. The scholars who attended these conferences formed what Hermans calls 'an invisible college'. They started writing, publishing, and cross-referencing each other, and each of them contributed their own ideas and expertise: "Even-Zohar had his polysystem hypothesis, Toury his empirical emphasis, Lambert a large-scale research project on translation history, Lefevere a preoccupation with philosophy of science, and Holmes a synthetic view spanning the theory and practice of translation" (ibid: 13). In the 80s

the new approach was visible in key publications: *Translation Studies* by Susan Bassnett (1980/1991), *The Manipulation of Literature* by Theo Hermans (1985), and *Translation Studies* by Mary Snell-Hornby (1988). Hermans (1999: 14) quoting Diana Crane's ideas about the evolution of scientific approaches, says that "after the period of consolidation and exponential growth, the rate of innovation declines and the exploration of new ideas loses impetus". Thus, for Hermans, *Poetics Today* by Even-Zohar (1990), and *Descriptive Translation Studies and Beyond* by Toury (1995), although "both books revised, refined and redefined earlier positions [...], contained disappointingly little that was new in theoretical or methodological terms, and scarcely any engagement with competing views and ideas" (ibid: 14). However, the paradigm started a new trend, especially in *Translation, History and Culture* edited by Bassnett and Lefevere (1990), where they "argued that the study of translation was moving on from a formalist phase to a consideration of the broader political and cultural context in which translation, like other modes of 'rewriting', creates images of other texts. Power and manipulation would be the key terms in what they hailed as the 'cultural turn' in translation studies" (ibid).

Hermans aptly summarized the key aspects which characterized Descriptive Translation Studies in its early formative stages as follows:

A view of literature as a complex and dynamic system; a conviction that there should be a continual interplay between theoretical models and practical case studies; an approach to literary translation which is descriptive, target-oriented, functional and systemic; and an interest in the norms and constraints that govern the production and reception of translations, in the relation between translation and other types of text processing, and in the place and role of translation both within a given literature and in the interaction between literatures (1985: 10).

More recently, Hermans (1999) further clarifies that the word 'descriptive' in the name of this translational approach "points to an interest in translation as it actually occurs, now and in the past, as part of cultural history. It seeks insight into the phenomenon and the impact of translation without immediately wanting to plough that insight back into some practical application to benefit translators, critics and teachers" (ibid: 7). In terms of its method, which will be further developed by Toury

(1995), Hermans says that “because it focuses on the observable aspects of translation, it has also been called ‘empirical’” (ibid).

Descriptive Translation Studies is sometimes referred to as the ‘polysystem approach’ because this is one of the most important concepts coined by the Israeli scholar Itamar Even-Zohar. Another term closely related to DTS is the ‘manipulation group’ which, as Hermans (1985) states, considers that “all translation implies a degree of manipulation of the source text for a certain purpose” (ibid: 11). Let us briefly examine the main concepts developed within these two trends in DTS.

According to Hermans (1999) “the main source for polysystem theory, as Even-Zohar has always fully acknowledged, lies in Russian Formalism” (ibid: 103). With regard to the term ‘polysystem’, Hermans further explains:

Even-Zohar originally thought up the term ‘polysystem’ in connection with language rather than literature. In his doctoral dissertation he spoke of the ‘polysystemic nature of language’ (1971: vii), meaning that heterogeneous sets of means such as high and low registers, and diverse stylistic modes, all co-exist within one language. The idea of a polysystem of literature ‘parallel to the linguistic polysystem’ (1971:xv) put into relief a similar diversity in the literary domain, with ‘high’ and ‘low’, canonized and non-canonized forms as the main divisions (ibid; 1978: 11) (Hermans, ibid: 106).

Even-Zohar seeks, then, to find out what place translated literature occupies within a specific polysystem. He states that one can think that translated literature always “occupies a peripheral position in the literary polysystem”, but he warns that “this is by no means the case” (1978/2000: 193). And he asserts that “whether translated literature becomes central or peripheral, and whether this position is connected with innovatory (‘primary’) or conservatory (‘secondary’) repertoires, depends on the specific constellation of the polysystem under study” (ibid). Now, if translated literature holds a central position in the literary polysystem, it means that “it participates actively in shaping the center of the polysystem” (ibid: 193).

From another perspective, the main concepts related to the manipulation group converge on what Susan Bassnett (1998: 123) calls the ‘cultural turn’ in translation studies:

... a study of the processes of translation combined with the praxis of translating could offer a way of understanding how complex manipulative textual processes take place: how a text is selected for translation, for example, what role the translators plays in the selection, what role an editor, publisher or patron plays, what criteria determine the strategies that will be employed by the translator, how a text might be received in the target system. For a translation always takes place in a continuum, never in a void, and there are all kinds of textual and extratextual constraints upon the translator. These constraints, or manipulative processes involved in the transfer of texts have become the primary focus of work in translation studies, and in order to study those processes translation studies has changed its course and has become both broader and deeper.

Within this perspective translation is seen as “a primary method of imposing meaning while concealing the power relations that lie behind the production of that meaning” (Bassnett 1998: 136). Therefore, “the problems of decoding a text for a translator involve so much more than language, despite the fact that the basis of any written text *is* its language” (ibid: 137).

2.1.1 Criticism on DTS

Hermans (1999: 118) summarizes the main limitations of the polysystem theory as follows. Despite the fact that “translation is recognized as a cultural practice interacting with other practices in a historical continuum” and “the workings of translation norms, the manipulative nature of translation and the effects of translation can be slotted into a broader socio-cultural setting [...]”, “studies of this nature are not only ferociously abstract and depersonalized, they also run the risk of being ultimately deterministic”. This is so because polysystem theory does not take into account political or social power relations or institutions or groups with real interests as well as the role played by individuals and collectives (ibid). Even though polysystem theory has fostered the contextualization of translation, it has refrained “from locating the factors motivating literary or cultural developments, including developments of translation, in that context” (ibid). The opposition ‘primary versus secondary’, what is innovatory and conservatory in the polysystem, is based “on an objectivist logic which interprets changing situations and competing practices as predetermined by their outcome” (ibid: 119). Finally, as polysystem theory operates

with binary exclusive terms (canonized vs. non-canonized, center vs. periphery, source vs. target, etc.), “it remains blind to all those ambivalent, hybrid, unstable, mobile, overlapping and collapsed elements that escape binary classification” (ibid). Based on Even-Zohar’s explanation that a system is “the assumed set of observables supposed to be governed by a network of relations (i.e. for which systemic relations can be hypothesized” (1990: 27), Pym (1998: 119) coincides with Hermans’ criticism of the depersonalized nature of the polysystem theory (see above). However, Pym points out that Hermans (1985: 12) in the introduction to *The Manipulation of Literature* displayed a similar apparently objective (depersonalizing) prose: “As a theoretical model the polysystem theory appears to provide an adequate framework for the systematic study of translated literature”.

This effort to try to look objective is considered by Pym as an attempt to produce “something whose only value is that it looks like science” (ibid: 123). And he adds that “systems theory is not very good, for example, at formulating causal hypotheses (it has trouble saying *why* phenomena occurred; nor is it in a comfortable position to put forward many ethical propositions (it does not say what phenomena *should not* occur)” (ibid). In this respect, Pym also coincides with Hermans who finds fault with the incapacity of systems theory to “locate factors motivating literary or cultural developments” (see above).

Pym (1998: 58) also criticizes Gideon Toury’s inclusive definition of translation according to which “a ‘translation’ will be taken to be any target language utterance which is regarded as such [i.e. as a ‘translation’], on whatever grounds” (1985: 20). For Pym, “it looks like relativistic largesse, an elegant cop-out, making the object work while the subject just ‘describes’. But is it?” (ibid: 59). And he further states, “The sticky problems bubble up when we have to use our definitions to exclude specific texts; even inclusive definitions must be called on to do a bit of excluding” (ibid). An immediate corollary of Toury’s inclusive definition of translation is that no relationship between a source language text and a target language text is needed to consider the target language text as a ‘translation’. In Pym’s terms, “Despite the apparent largesse, there can be no question of the research process simply allowing each culture to make its own selection of what is to be considered a translation. There is no real relativism here” (ibid). I think Toury’s

‘assumed translations’ and ‘pseudotranslations’ can also be called into question. As Pym puts it, “Toury’s broad criteria can be used to assume that virtually anything is a translation until proven otherwise; Toury does not tell us how to prove a text is *not* a translation” (ibid: 61).

Newmark (1991: 53) says that “Hermans’ (1985) *The Manipulation of Literature*, some articles in *Poetics Today* (Tel Aviv) and the special triple issue of *Dispositio* (1982) (University of Michigan) tend to discuss translation as ideology within the target language culture and to analyze their ‘norms’ without any close reference to the original”. He considers that this approach is interesting,

... but what is missing is naïvely betrayed by Hermans. ‘The old essentialist questions about the prototypical essence of translation are simply dissolved, and the way is open for a functional view’. How simple, how simplistic. I think this means that the importance of accuracy and truth in translation is a question to be ignored, or ‘simply dissolved’ and all that matters is the function of translation in its ‘new’ setting. In spite of its abstractions, this is the crudest statement I know of the view that once one knows the why (purpose), both the what (content) and the how (form) become irrelevant (ibid: 54).

As Newmark points out succinctly, “All studies are relativised to a consideration of the functions of a translation at a given period” (ibid). Thus, Newmark coincides with Pym in seeing that within the framework of DTS the definition of translation is moved away from the linguistic relationship between source language text (SLT) and target language text (TLT) to the ‘outer extreme’ (Snell-Hornby 1988: 25) where the TLT functions. An immediate consequence of this disregard of SLT and TLT relationship is that it also renders DTS inapplicable for translation criticism. In House’s terms:

The major problem with taking this approach [DTS] as a basis for translation quality assessment is its lack of delimitation of the object of study, or put more simply: on which criteria are we to legitimately say that one text is a translation, another one not, and what exactly are the criteria for judging the merits and weaknesses of a given translation? (House 1997: 8).

It is clear by now that DTS scholars were mostly interested in studying literary texts and considered that linguistics could not provide an appropriate background for this task. Hermans (quoted by Snell-Hornby 1988: 23), says in this respect:

Linguistics has undoubtedly benefited our understanding as far as the treatment of *unmarked, non-literary texts* is concerned. But as it proved too restricted in scope to be of much use to literary studies generally -witness the frantic attempts in recent years to construct a text linguistics- and unable to deal with the manifold complexities of literary works, it became obvious that it could not serve as a proper basis for the study of literary translation either. (Hermans 1985: 10).

It is worth noting Hermans' efforts to stress the alleged peculiarities and uniqueness of literary texts and their 'manifold complexities'. I think the price paid to keep literary texts as an exclusive and implicitly 'higher' type of texts was too high: the definition of translation was diluted and obscured as the original was radically moved to the background and no linguistic links were to be established between SLT and TLT. Consequently, the discussion of translational equivalence was practically non-existent.

On the other hand, according to Maria Tymoczko (2000: 27), postcolonial translation studies "take up questions about the interrelation of translation, power, ideology and politics" which had been discussed in descriptive translation studies as developed by Itamar Even-Zohar, Gideon Toury, Andre Lefevere, and others. However, she admits that "Even-Zohar's framework is difficult to use if one is interested in power and political engagement, because he masks issues related to both with his rather sanitized vocabulary. It is difficult to tease out the geopolitical implications of centre and periphery, cultural prestige and so forth in his presentations of the issues" (ibid: 31). At a more metalinguistic level, Tymoczko reflects on the use of Even-Zohar's language and stresses that "some of his theoretical language -'high' vs. 'low', for example- is today distasteful, offensive and unacceptable. It is perhaps for reasons such as these that Niranjana is dismissive of Lefevere and other polysystem translations theorists" (ibid: 31). Tymoczko is right in pointing out the limitations of DTS's universalistic view of an aseptic world of clear binary opposites, especially because DTS scholars were not interested in studying colonized countries. However, we should also acknowledge that the research scope of these scholars was clearly limited to studying, as I said above, literary texts.

Another criticism about the usefulness of the categories developed in DTS is carried out by Gentzler (1996: 19), when analyzing the role of translation and

counter-culture in the USA. He finds it “unfortunate that Even-Zohar’s formulations, hastily and often provocatively developed during the seventies, have exerted such enormous influence on subsequent scholarship”, specifically with regard to the dictum that “translation assumes a *peripheral* position in the target system, generally employing *secondary* models and serving as a major factor of *conservatism*” (ibid: 120). Gentzler takes up Toury’s statement that “descriptive research has amply demonstrated that it [the aforementioned ‘law’] is seldom broken”, and wonders, “After a decade of research, has translation studies learned nothing new? Does descriptive research simply validate the provisional hypothesis with which it began?” (ibid). Gentzler -I think- also coincides with Hermans’ concern about the ‘objectivistic logic and deterministic view’ of DTS, for “according to Toury, the evolution of theory in the field seems merely to confirm a model of systemic behaviour derived in the seventies, *before* anyone looked at the real conditions of production” (ibid). In this respect, Gentzler mentions a counter-example related to the British literary system, where “*all* important changes in poetics over the last 500 years were led not by ‘original’ writing in the Toury/Even-Zohar sense, but via translation.” Similarly, he asks whether many African systems with “some of the oldest and strongest oral traditions in the world”, would be called by a p[oly]s[ystem]-theorist a ‘weak’ system” (ibid).

Summing up the previous discussion, I could say, as Hermans points out, that DTS has no interest in bridging the gap between theory and its practical applications in translation teaching or criticism. Thus, it stresses the existing distance between translation theorists and practitioners. This reinforces translation practitioners’ usual complaint that theoretical issues are not relevant for their professional practice, nor for translation criticism (as demonstrated by House) or for teaching purposes.

Besides, according to Holmes’ ‘map’, we would say that DTS is function-oriented research which explicitly discards the relationship of equivalence between SLT and TLT (i.e. product-oriented research) as an object worth studying⁴³. This is

⁴³ “Within the polysystems paradigm, to talk of genuine linguistic or even functional equivalence seemed irrelevant in most cases.” (Hatim 2001: 71). Or, in Kohlmayer’s terms, “The new approach in the theory of translation consisted in finding out exclusively about the function of the literary translation in this polysystem of the target culture. The question about the relationship between a translation and its original was largely obliterated.” („Die -im Rahmen der Übersetzungstheorie- neue Sicht bestand nun darin, ausschließlich nach der Funktion der literarischen Übersetzung in diesem

one of the most serious shortcomings, especially of Toury's functional proposal. As pointed out by Pym, if there is no clear definition of what translation is -first of all in linguistic terms, I would add-, then almost anything can be considered as such. This implies, I think, that this extreme relativism in defining translation does not lead anywhere and consequently does not further the development of translation studies as a scientific endeavor. Therefore, it is also clear that DTS scholars are not interested in integrating the linguistic perspective into their research. What they do constitutes a development in what Holmes aptly called the 'sociology of translation'. The point is, however, that there can be no sociology of *translation* if translation itself is not defined, or definable, for that matter. Now, within this sociological framework, even if it is granted that translation is a rewriting which, like all rewritings, "reflect[s] a certain ideology and a poetics and as such manipulate[s] literature to function in a given society in a given way" (Bassnett and Lefevere 1993: vii), the concept of power relations is still not fully developed (see Tymoczko above), for it only includes traditional binary categories such as 'high' versus 'low', 'center' versus 'periphery', etc., which are hardly useful for analyzing the complex 'hybrid' socio-cultural and political situation of literature itself from a postcolonial perspective. Likewise, when an attempt is made to analyze non-traditional oral literature in Africa from a DTS perspective, it is clear that "perhaps we need to rethink the vocabulary of 'weak' and 'strong' cultures altogether" (Gentzler 1996:120).

Value-free (and depersonalizing) descriptions like those proposed within DTS (see above Hermans and Pym) can also be deceptive in a human science because they foster determinism. This we noticed also in the case of Toury's insistence on the overall importance of exclusively and objectively carrying out function-oriented research, thereby downplaying product- and process-oriented endeavors, which -I reiterate- are important and justified. Newmark also pointed in this direction when he criticized the overemphasis of this approach on translation function (target-orientation), to the detriment of the original text's content (semantic component) and form (stylistic component). As U. Eco (2003: 171) also acknowledges, "It is very important to study the function a translation fulfills in the target culture", but he

„Polysystem' der Zielkultur gefragt wurde. Die Frage nach der Beziehung einer Übersetzung zum Original wurde also -weitgehend- ausgeblendet“ [...]). (Kohlmayer 1988: 147).

likewise warns, “however, from this viewpoint, translation becomes an internal problem of the history of that culture and the linguistic and cultural problems posed by the original become irrelevant”⁴⁴.

Finally, DTS scholars’ exclusive interest in literary texts helped to deepen even more the existing gap between literary and linguistic studies. A kind of distribution of labor occurs, with literary scholars focussing on literary texts and linguists on the so-called pragmatic texts. This distinction is partly based on the idea that, as Hermans stated above, pragmatic texts are *unmarked*. By deduction, literary texts are *marked*, i.e. they display the positive feature of this binary opposition. This is a rather reductionist view of a text typology. A modern text typology, as initially pointed out by Snell-Hornby (1988), should be thought of as a range or a continuum with several text types in-between. A certain attitudinal bias can also be perceived in the way DTS scholars seem to discard these pragmatic, unmarked texts as legitimate objects of inquiry, leaving linguists to tackle them.

2.2 Skopos Theory and Translational Action

Skopos theory has been developed by Hans Vermeer since 1978. Other scholars working in this paradigm are K. Reiss, M. Ammann, H. Hönl, P. Kussmaul, Christiane Nord and Heidrun Witte. In Vermeer’s 1978 ‘Ein Rahmen für eine allgemeine Translationstheorie’ [‘A Framework for a General Translation Theory’], he introduced the key aspects of his general translation theory which were to be further developed by him and other collaborators in subsequent publications. His basic thesis for translation⁴⁵ is that ‘transfer of the parts of speech is only partial transfer’, and ‘all translation has to do with ‘transfer into different cultural structures’ (ibid: 99)⁴⁶. Accordingly, Vermeer considered that translation theory would be made up of a linguistic component and, as a general concept, a cultural component. (ibid:

⁴⁴ “È molto importante studiare la funzione che esercita una traduzione nella cultura d’arrivo. Ma, da questo punto di vista, la traduzione diventa un problema interno alla storia di questa cultura e tutti i problemi linguistici e culturali posti dall’originale diventano irrilevanti” (Eco 2003: 171).

⁴⁵ In his theory, Vermeer follows the use of the German term ‘Translation’ to encompass both translation and interpretation as was customary in the Leipzig School.

⁴⁶ „Transfer der verbalen Teile ist nur Teiltransfer, jede Translation hat mit Transfer in verschiedene Kulturgefüge zu tun“. (Vermeer 1978: 99).

100). Thus, it was a subdiscipline of ‘intercultural communication’, as a subdiscipline of applied linguistics. At this point, then, Vermeer reacts against contemporary linguistic translation theories which did not take into account the cultural component of translation. Despite acknowledging that ‘intercultural communication’ is still a subdiscipline of applied linguistics, he shifts from the prevalent linguistic paradigm, based on the recognition that there exists a relationship of equivalence between SLT and TLT, to a new paradigm that emphasizes the cultural component of translational transfer.

Vermeer points out that a general translation theory also contains an inventory of general rules (ibid). As intercultural communication takes place between participants, then when they participate in an encounter, they perform actions. An action has a value according to both the sender’s intention (intended function) and the receiver’s interpretation (interpreted function). An action is said to be “felicitous” when sender’s and receiver’s values do not differ from each other, so that no protest arises on either side (ibid)⁴⁷. Consequently, he formulates three rules which are hierarchically ordered (connected). The first rule, the highest in the hierarchy, is called the *skopos rule* and states that “Interaction (and translation as a special kind of interaction) is determined by its goal (skopos); it’s a function of its goal” (ibid). Vermeer formulates this statement as a kind of mathematical equation: $IA[\text{Interaction}]/Trl[\text{Translation}] = f[\text{function}](sk)[\text{skopos}]$. As we will see further, this purpose-(teleological) orientation will be a constant in Vermeer’s general translation theory.

A subrule of the primary *skopos rule* states a ‘sociological’ rule (ibid: 101), according to which the rule is describable depending on the receivers⁴⁸. The receiver is also subordinated to the goal (skopos), to the extent that it is one of its elements (ibid). The second rule is called *coherence rule* and states that “a translation is felicitous when it is interpreted by the receiver as sufficiently coherent with his

⁴⁷ Vermeer’s use of the term ‘felicitous’ [*geglickt*] is reminiscent of Speech Act Theory as developed by Austin and Searle (1969). However, Vermeer does not agree with these authors -whose terms are borrowed but who are not mentioned in the article- to the extent that he sees that an interaction theory does not require primarily a logical theory of truth conditions (Austin & Searle’s first approach) but rather ‘a value theory of purposes’ (Vermeer 1978: 99).

⁴⁸ „Unterregel 1’ (*soziologische Regel*): Der Zweck ist als Empfängerabhängige beschreibbar“ (Vermeer 1978: 101).

situation and no protest is arises in any form whatsoever with regard to its message, its language, or what is meant (sense)”⁴⁹. The third rule is called *fidelity rule* and states that a “translation strives after coherent transfer of a text” (ibid).

In his 1982 “Translation als ‘Informationsangebot’” [“Translation as an ‘Information Offer’”], Vermeer reiterates that translation is a cultural transfer. He also criticizes the current linguistic translation theories of the time⁵⁰ -especially the Leipzig School but without mentioning it- according to which translation would be a two-phase communication process, comprising the transcoding from an SLT into a TLT, without taking into account the role played by the translator in the process; the translator would be seen simply as a linguistic mediator (‘Sprachmittler’), a kind of black box ‘relay station’ (ibid: 97). Another problem Vermeer sees in these linguistic translation approaches based on a two-phase communication process, as represented by Neubert, House, and Diller and Kornelius’ theories, is that such a process does not account for all translation cases. A unifying proposal is required and text typologies or translation goals may be brought into play⁵¹. Then he introduces the idea that “*all translation can be understood as an information offer in its target culture and its language (IOt) about an information offer from the source culture and its language (IOs)*”⁵². He further states that there are two main groups of information offers about an information offer: comment and translation. A comment is an information offer that is marked as such explicitly in the text, for instance, when one finds such expressions as, *The author writes here that...* A translation lacks such explicit marks and shifts in person. The product of the translation process is called *translat*. A *translat* is not explicitly recognizable as an IOt about an IOs. Rather, it pretends to be an IOt from an IOs (ibid: 99). Translation transfer is also conceived of as an imitation

⁴⁹ „Regel 2 (*Kohärenzregel*): Geglückt ist eine Translation, wenn sie vom Empfänger als hinreichend kohärent mit seiner Situation interpretiert wird und kein Protest, in welcher Form auch immer, zu Übermittlung, Sprache und deren Gemeintem (Sinn) folgt“ (Vermeer 1978: 101).

⁵⁰ Obviously, intercultural communication as a part of applied linguistics is no longer mentioned, as it would be in 1978.

⁵¹ „Nach Neubert, House and Diller + Cornelius kann die Theorie von der Translation als einer zweistufigen Kommunikation mit Transcodierung eines A-Textes in einen Z-Text nicht alle Translationsfälle abdecken. Andererseits ist es unbefriedigend, zwei Basistheorien zu haben. Man wird also nach einem einheitlichen Ansatz suchen. Die Einheit der Theorie sollte vor einem Rückgriff auf Textsorten oder Translationszwecke erreicht werden“ (Vermeer 1982: 98).

⁵² „...daß *jede* Translation als Informationsangebot in einer Zielkultur und deren Sprache (IAz) über ein Informationsangebot aus einer Ausgangskultur und deren Sprache (IAa) aufgefaßt werden kann“ (Vermeer 1982: 99).

process, similar to the one that takes place when a novel becomes drama, an action is filmed, a cathedral is build according to blueprints, a picture is transformed into music, etc. (ibid). I think that this is a broad semiotic definition of translation, where transfer occurs between a target information offer and a source information offer as long as some ‘simulation’ or ‘imitation’ is present.⁵³ On the other hand, translation as an information offer depends on the sender’s expectations (i.e. the translator’s) about the receiver’s situation, his culture and language (ibid: 100). One translates in form and function as the target culture expects to be informed, as exactly as possibly (in technical texts), according to the readership (when Don Quijote becomes a children’s book), economically (when Buddha’s endless repetitions are omitted), using colloquialisms (by adding polite forms in the translation of business letters into German), etc. (ibid).

Vermeer and K. Reiß wrote *Grundlegung einer allgemeinen Translationstheorie* [*Fundamentals of a General Translation Theory*] together in 1984; a second edition published in 1991, with “a short additional bibliography” (Preface to the second edition), confirmed the ‘validity’ of the theory presented⁵⁴. The book’s main ideas had already been developed previously by Vermeer (see above). They reiterate that translation is not only a linguistic but also a cultural transfer (ibid: 4, 13), and they continue to use the general German term *Translation* to encompass both translation and interpretation (ibid: 6); a general translation theory should include ‘most cases within its scope’, among them the values problematic which is approached from a purpose-oriented theory (ibid: 29). Reiß’s contribution is clearly seen in a statement previously absent in Vermeer: “The primary translation unit is the text. Words interest the translator only as text elements”⁵⁵. Translation is still seen as an ‘information offer’ (ibid: 35, 67). However, a caveat is added: “The description of translation as an information offer is a *methodological* approach, which does not reflect the practice directly” (ibid: 79; emphasis in the original). A translat is still a

⁵³ This is clearly reminiscent of R. Jakobson’s (1959/2000: 114) intersemiotic translation, or transmutation, where “an interpretation of verbal signs by means of signs of non-verbal sign systems” takes place.

⁵⁴ „Wenn dieses Buch dabei immer noch unverändert und lediglich durch eine kurze weiterführende Bibliographie ergänzt erscheinen kann, so darf dies wohl als ein Hinweis auf die Gültigkeit der vorgetragenen Theorie gelten“. (Reiß & Vermeer 1984/1991: viii).

target information offer that ‘simulates’ or imitates the form and function of a source information offer (ibid: 80, 89; inverted commas in the original). The linguistically-oriented two-phase communication process is discussed again (ibid: 41) and the 1982 statement about Neubert, House, Diller and Kornelius is repeated *verbatim* (ibid: 54). And a somewhat disconcerting statement about the nature of texts is made: “We would like to insist once more: A text is not a text; it is received as such or such a text instead and, e.g. it is interpreted, transferred by a translator in his own way” (Reiß and Vermeer 1984/1991: 58)⁵⁶.

According to this view, texts seem to be ‘magically’ created or activated by receivers in the very act of interpreting them. This is highly problematic to the extent that it implies that there is no common semantic referential core in the original that can be recognized as such by different subjects.

Then, the authors explain that it is not possible to understand translation as a transcoding *tout simple* of the meaning of a text. Translation presupposes the understanding of a text, the interpretation of the object text in a situation. Translation, then, is linked not only to meaning but also to what is intended, the sense of the text in situation. Vermeer’s initial interest (1978) in presenting ‘rules’ is justified this time by saying that “a complete translation theory should (be able to) give rules, about how (expectations on) target situations are analyzed and from there derive conditions for realizing translations” (ibid: 85)⁵⁷. Then, the predominant role of the skopos rule is reiterated again: “An action is determined by its goal (it is a function of its goal)”. And they expand: “In translation it is valid that ‘the end justifies the means’” (ibid: 101)⁵⁸. This means that “it is more important that some given translation goal be reached than that a translation be carried out in some given form”⁵⁹. The other rules

⁵⁵ „Die primäre Translationseinheit ist der Text. Wörter interessieren den Translator nur als Textelemente“. (Reiß & Vermeer 1984/1991: 30).

⁵⁶ „Wir möchten also noch einmal betonen: ein Text ist kein Text, sondern wird als je der und der Text rezipiert und, z. B. durch einen Translator interpretiert, in je eigener Weise tradiert“. (Reiß & Vermeer 1984/1991: 58).

⁵⁷ „Eine vollständige Translationstheorie müßte also Regeln geben (können), wie (Erwartungen über) Zielsituationen analysiert werden und sich daraus Bedingungen für das Zustandekommen von Translationen ableiten“. (Reiß & Vermeer 1984/1991: 85).

⁵⁸ „Eine Handlung wird von ihrem Zweck bestimmt (ist eine Funktion ihres Zwecks) [...] –Mit anderen Worten: Für Translation gilt, ‚Der Zweck heiligt die Mittel‘“. (Reiß & Vermeer 1984/1991: 101).

⁵⁹ „Es ist wichtiger, daß ein gegebener Translation(zweck) erreicht wird, als daß eine Translation in bestimmter Weise durchgeführt wird“. (Reiß & Vermeer 1984/1991: 100).

about coherence and fidelity remain unmodified. The second part of the book deals with the so-called special theories where such concepts as ‘equivalence’, ‘adequacy’, and ‘text typology’ are discussed.

In his 1986/1994 ‘Übersetzen als kultureller Transfer’ [‘Translation as Cultural Transfer’], Vermeer proposes a definition of translation as an information offer which integrates the concept of ‘action’ he had initially discussed in 1978. At the same time, he emphasizes again that translation is not a transcoding of words or sentences and the concept of imitation is still valid (ibid: 33)⁶⁰. This time he visualizes translation as a new textualization of an information offer, or a ‘message’, a term borrowed from Holz-Mänttari (ibid: 36). He also tries to incorporate into his theory the translational action approach proposed by Holz-Mänttari. (ibid: 37). Holz-Mänttari (1986/1994) considers that basing a translation theory on an orientation towards the source language text and the textual material implies leaving a kind of deficit, that can be filled if texts are seen as message carriers in function situations, so that the translational action to be produced can be ‘specified on a case-by-case basis’ (ibid: 351)⁶¹. She even states that in ‘translational action’ the idea should be discarded that texts, parts thereof or languages are ‘translated’. She also coincides with Vermeer in considering that the translator is not to be regarded as a mediator in a communication process, but as an active participant and proposes the term ‘action expert’.

Vermeer seems to coincide with Holz-Mänttari’s statement that texts are not ‘translated’, and he reiterates that ‘the’ source language text cannot be considered the basis and the point of departure for ‘the’ translation. Therefore, the ‘text’ is dethroned; translation is freed from this fiction (Vermeer: 1986/1994: 42)⁶².

⁶⁰ „Eine Translation ist nicht die Transkodierung von Wörtern oder Sätzen aus einer Sprache in eine andere, sondern eine komplexe Handlung, in der jemand unter neuen funktionalen und kulturellen und sprachlichen Bedingungen in einer neuen Situation über einen Text (Ausgangssachverhalt) berichtet, indem er ihn auch formal möglichst nachahmt.“ (Vermeer 1986/1994: 33).

⁶¹ „Wir hatten festgestellt, daß für die Theoriebildung bei Orientierung am Ausgangstext und am sprachlich/textlichen Material ein Defizit zu verzeichnen bleibt. Dieses Defizit läßt sich abdecken, wenn Texte als Botschaftsträger in Funktionssituationen betrachtet werden, so daß die zu vollziehende translatorische Produktionshandlung ‘fallbezogen spezifiziert’ werden kann.“ (Holz-Mänttari 1986/1994: 351).

⁶² „Der Ausgangstext kann also auch nicht Grundlage und Ausgangspunkt für ‚die‘ Übersetzung sein (die es ebenso wenig gibt). Er ist entthront, die Translation dieser Fiktion enthoben.“ (Vermeer 1986/1994: 42).

In his 1990 *Skopos und Translationsauftrag. Aufsätze*. [*Skopos and Translation Commission. Papers*], Vermeer takes up Holz-Mänttari's definition of translation within the framework of translational action:

In the theory of translational action, translation is understood as a set of actions for the professional production of texts over cultural barriers, frequently in connection with other message carriers. The need for texts arises when cultural barriers hinder or prevent cooperation because communication with the purpose of coordinating cooperation fails. (Vermeer 1990: 35)⁶³

Vermeer also reiterates explicitly that the maximum demand of traditional translation theories oriented towards source texts, towards 'fidelity' to the source text and the comprehension of the target text is not sufficient in the functional 'skopos theory' (ibid: 48). In line with Holz-Mänttari's proposal, he defines the translator as an expert in intercultural communication (ibid: 63). And he further elaborates on the characteristics of the commission: it is seen as an instruction to carry out a specific action: to translate (ibid: 121). The translation is produced according to the commission, i.e. adequately with regard to the skopos (ibid: 136).

In a 1994 paper written in English ("Translation Today: New and Old Problems"), Vermeer repeats the thesis he had presented in 1978 stating that "translation as a cultural product and translating as a culture-sensitive procedure widen the meaning of 'translation' and 'translating' beyond a mere linguistic rendering of a text into another language" (ibid: 10), and he refers the reader to Sperber and Wilson (1986). Then, he elaborates further on the task of the translator. First, the translator has to "convey an intended meta-meaning in such a way that the ultimate aim ('skopos') of the communicative act is achieved. But this meta-meaning is not, I repeat, 'in' the source text" (ibid: 11). Where is it then? Vermeer answers: "On the basis of culture-specific conventions. It arises out of the commissioner's intention to have communication established with someone else in a given situation by the help of the translator" (ibid). Second, the task of the translator is "to transform

⁶³ „Translation wird in der Theorie über Translatorisches Handeln als Gefüge von Handlungen zur professionellen Herstellung von Texten oft im Verbund mit anderen Botschaftsträgern über Kulturbarrieren hinweg aufgefaßt. Bedarf an Texten aufsteht, wenn Kulturbarrieren Ko-Operationen be- oder verhindern, weil Kommunikation zwecks Koordinierung von Ko-Operation nicht gelingt“. (Holz-Mänttari quoted in Vermeer 1990: 35).

the form and meaning of the message on its object level into a target text in such a way as to make this target text fit the intended *skopos*. This may involve a thorough change of form and content –besides the normal change ‘from one language to another’” (ibid).

The first part of Vermeer’s statement about the task of the translator was already present in his initial proposal (see above 1978, 1982, 1986), specifically with regard to his understanding of the role of the source language text in translation, which was totally displaced as a reaction to linguistic translation theories which emphasize its equivalence relationship with the target language text. Now, Vermeer is careful to say that the *skopos* is not the meaning ‘in’ the text; it is a meta-meaning, something which is beyond meaning proper, and by extension beyond the source language text. In this way, the source language text is not simply displaced but completely erased from the translation theory. Where is then this mysterious *skopos* to be located? It is in the commissioner’s intention. Now, the translator ‘transforms the form and meaning of the message on its object level’, so that he makes the target text ‘fit’ the commissioner’s intended *skopos*. The source language text, which Vermeer was still acknowledging in 1984, has been dissolved into ‘form and meaning of the message on its object level’. The commissioner’s role is moved into the foreground because it is the *locus* of the *skopos*.

By 2000, when he published ‘Skopos and Commission in Translational Action’, the key words in the title of this paper by Vermeer clearly show the new emphasis of his theory: *skopos*, commission, and translational action. This time Vermeer states that “the *skopos* theory is part of [Holz-Mänttari’s] translational action” (ibid: 221). His translation theory is no longer a subdiscipline of ‘intercultural communication’, as he believed it to be in 1978. Holz-Mänttari considers that texts are not translated (see above), and this idea is reflected in a rather enigmatic and cautionary statement by Vermeer himself, who had officially ‘dethroned’ the source language text in 1986 (see above): “One practical consequence of the *skopos* theory is a new concept of the status of the source text for a translation, and with it the necessity of working for an increasing awareness of this, both among translators and the general public” (ibid: 222). What is the ‘status of the source text’? He does not spell it out. On the other hand, he says that “Trans-coding, as a procedure which is

retrospectively oriented towards the source text, not prospectively towards the target culture, is diametrically opposed to the theory of translational action” (ibid: 223). Clearly, when he talks about ‘transcoding’ he refers to linguistic translation approaches which focus on an equivalence relationship between SLT and TLT. As the source language text has disappeared from his skopos theory, Vermeer cannot look back at a point of departure (SLT), all he can do is look forward at the text to be produced (TLT). As the source language text has been downplayed so much, one is puzzled by the inclusion of the concept of ‘intertextual coherence’. Vermeer says:

To the extent that a translator judges the form and function of a source text to be basically adequate per se as regards the predetermined skopos in the target language, we can speak of a degree of ‘intertextual coherence’ between target and source text. For instance, one legitimate skopos might be an exact imitation of the source text syntax, perhaps to provide target culture readers with information about this syntax. (Vermeer 2000: 223).

Vermeer does not explain what he means by ‘intertextual coherence’. When the target language text ‘imitates’ the source language text because the commissioner’s skopos intends it to do so, is it intertextually coherent? ‘Is ‘resemblance’ or ‘imitation’ equated to ‘coherence’? For a discussion of this concept of intertextual coherence, Vermeer refers us to Morgenthaler (1980), and to the concepts of theme and rheme by Gerzymisch-Arbogast (1987). As I understand Gerzymisch-Arbogast’s proposal about the development of theme-rheme sequence in texts, it is a complex semantic approach which clearly goes beyond Vermeer’s oversimplified presentation with regard to mere ‘imitation’. Besides, one clear discrepancy between Gerzymisch-Arbogast and Vermeer is that the former does consider that the SLT exists and is fundamental in translation; therefore, her approach would be retrospective (linguistics-oriented) not prospective as Vermeer seems to suggest here (cf. e.g. Gerzymisch-Arbogast 1994).

With regard to translation commission, Vermeer underlines again that “one translates as a result of either one’s own initiative or someone else’s: in both cases, that is, one acts in accordance with a ‘commission’ (*Auftrag*)” (ibid: 229). Skopos is then equated to commission: “a *translatum* is primarily determined by its skopos or its commission, accepted by the translator as being adequate to the goal of the action”

(ibid: 230). He adds that these two concepts “also serve to relativize a viewpoint that has often been seen as the only valid one: that a source text should be translated ‘as literally as possible’” (ibid: 231). Unfortunately, Vermeer does not clarify this point either. Who says that it should be translated ‘as literally as possible’? Does *skopos* or commission actually rescue translation from this alleged/implied literalness? On the other hand, the similarity Vermeer had previously established between ‘comment’ and ‘translation’ (see above) is now further expanded and made explicit: “The *skopos* can also help to determine whether the source text needs to be ‘translated’, ‘paraphrased’ or completely ‘re-edited’” (ibid: 231). So he clearly erases the difference between ‘translation’ and other textual products such as paraphrases or re-editions because the primary guiding principle is the commissioner’s *skopos* or commission.

2.2.1 Criticism on *Skopos* and Translational Action Theories

In his 2000 *Skopos and Commission in Translational Action*, Vermeer discusses what he calls ‘Arguments against the *skopos* theory’, and he states that they “fall into two main types” (ibid: 224): “Objection 1 maintains that not all *actions* have an aim: some have ‘no aim’. This is claimed to be the case with literary texts, or at least some of them” (ibid). Vermeer’s answer is straightforward: “If no aim can be attributed to an action, it can no longer be regarded as an action” (ibid). This first criticism I believe is not a strong contention and Vermeer is able to deal with it easily. The second objection “maintains that not every *translation* can be assigned a purpose, an intention; i.e. there are translations which are not goal-oriented” (ibid: 226). Vermeer says that “this objection too is usually made with reference to literature” (ibid). He considers that this objection partially coincides with the first one and reiterates that “What *skopos* states is that one must translate, consciously and consistently, in accordance with some principle respecting the target text” (ibid: 228). Once again, as long as the *skopos* is respected, the way the translation is carried out becomes a matter of secondary concern. As I understand it, these are very weak objections and I agree with the way Vermeer refuted them. However, the more serious objections

posed to the skopos theory were not mentioned by Vermeer. I will discuss them next in this section.

In *Translating as a Purposeful Activity. Functionalist Approaches Explained* (1997), Christiane Nord, a key representative of functionalist skopos-related approaches, devotes a section of her book to presenting and refuting the main criticisms against these translational approaches. The first two criticisms ('Not all actions have an intention' and 'Not all translations have a purpose') are discussed basically on the same basis as Vermeer discussed them above. The next criticism says that 'Functional approaches transgress the limits of translation proper'. She introduces Koller's (1996) definition of translation which is based on the equivalence relationship between SLT and TLT. Koller sees this relationship as defined by 'a double linkage': "firstly by its link to the *source text* and secondly by its link to the *communicative conditions* on the *receiver's side*" (Nord 1997: 112; author's emphasis). Then, she criticizes Koller's concept of equivalence, a point I will deal with later on in this book (cf. Chapter 4). She says that Koller criticizes skopos theory for having made the "contours of translation, as the object of study ... steadily vaguer and more difficult to survey" (Koller 1995: 193, cited by Nord, *ibid*). And she says that Koller cites Amman "who rejects a terminological differentiation between 'translation proper' and other forms of translational action such as paraphrase and adaptation" (*ibid*: 113). Nord states that Ammann does not "actually call 'the production of a new text' a *translation* in this context" (*ibid*). And she adds,

Yet it is certainly something that translators can do; it is legitimate translational action since, as we have seen in the conceptual system outlined in chapter 2 above, translational action includes cross-cultural consulting and cross-technical writing even *without a source text*. (Nord 1997: 113)

Koller's main criticism of the skopos theory is presented in several publications. It is not simply when citing Ammann, as Nord seems to believe, that Koller's arguments are developed. Let us begin with Nord's interpretation of Koller's reading of Ammann's statement. To my understanding, Ammann is simply repeating what Vermeer clearly stated in his skopos theory, i.e. that what matters is not the SLT anymore; the commissioner's skopos or intention is what concerns the translator, to

the extent that translator and commissioner become collaborators to carry out a translational action taking into account the target receiver. What Koller says in this respect is that in this case obviously “the contours of translation, as the object of study [become] ... steadily vaguer and more difficult to survey” (Koller 1995: 193). Nord fails to see that Koller is talking about ‘translation’, not ‘skopos-oriented translational action’. Within the framework of the skopos theory, the boundaries between translation proper and other target-oriented products are erased, precisely because, as Nord herself acknowledges, “translational action includes cross-cultural consulting and cross-technical writing even *without a source text*” (Nord’s emphasis). Let us remember that Vermeer (2000) has also explicitly said that ‘translated’, ‘paraphrased’ and ‘reedited’ texts, were all part of translational action determined by the corresponding commission or skopos (cf. above 1.1.3.2). Thus, Koller aptly asserts:

With this point of departure [the skopos approach], it would be easier to find an answer to the question about what is *not* translation; at any rate, translatology loses its specific empirical basis: it becomes an all-text-science (or a text-all-science). (Koller 1992:91)⁶⁴

Koller rightly points out that if we cannot define the subject matter of translatology, then it becomes rather difficult to determine the ‘contours’ of the discipline. And this is so because within the framework of the skopos theory no distinction whatsoever is made between translation proper, i.e. the linguistically-based equivalence relationship between a source language text and a target language text, and other target textual products which may be produced “even without a source text”, to quote Nord. This, I think, is a real risk any general theory, such as Vermeer’s skopos theory, has to face: either the boundaries of the subject-matter are somehow delimited, or the theoretical proposal itself may become meaningless and useless due to the width of its intended scope. In this line of argument, for instance, by definition any target language textual product, as long as it is the result of any given

⁶⁴ „Bei diesem Ausgangspunkt dürfte es einfacher sein, eine Antwort auf die Frage zu finden, was *nicht* Translation ist; jedenfalls verliert die Übersetzungswissenschaft (Translatologie) ihre spezifische empirische Basis: sie wird zur All-Text-Wissenschaft (oder Text-All-Wissenschaft)“. (Koller 1992: 91).

recognizable commission/skopos, would be considered a legitimate object of study of Vermeer's and Holz-Mänttari's translational action approach.

I would add that if there is no source language text to be compared with the target language text, there is no way to establish an empirically-oriented science of translation proper in Koller's linguistic approach. When Vermeer (1986/1994, see above) said that he had 'dethroned' translation studies from the fiction of the source language text, I think he meant it. Nord has a somewhat different interpretation of this: "But dethroning does not imply murder or dumping; it simply means that the source text, or more precisely, its linguistic and stylistic features, is no longer regarded as the only yardstick for translation" (Nord 1997: 120). According to Vermeer's view and taking into account the detailed presentation of his approach made here, I would say that it is not that the source language text "is no longer regarded as the only yardstick for translation": for Vermeer it is *not* a yardstick at all.

Nord can just barely reconcile Vermeer's complete disregard of the source language text and the limitations of this approach as a workable definition of translation with her own view. Nord's approach is a text functional one. She wonders, what would happen if the commission "requires a translation whose communicative aims are contrary to or incompatible with the author's opinion or intention?" (ibid: 124). And she continues, "In this case, the *Skopos* rule could easily be interpreted as 'the end justifies the means', and there would be no restriction to the range of possible ends" (ibid). She sees a way out of this problematic situation in the concept of loyalty: "Let me call 'loyalty' this responsibility translators have towards their partners in translational interaction. Loyalty commits the translator bilaterally to the source and the target sides" (ibid: 125). One perceives immediately a curious similarity between this concept and the definition of equivalence she so much criticized in Koller: equivalence is defined "firstly by its link to the *source text* and secondly by its link to the *communicative conditions* on the *receiver's* side". By introducing this concept of 'loyalty', Nord attempts to solve the second problem she sees in radical functionalism. "This concerns the relationship between the source-text author and the translator" (ibid: 125). And she adds, "In this context, loyalty means that the target-text purpose should be compatible with the original author's intention" (ibid). Nord sums up her proposal as follows: "My personal version of the

functionalist approach thus stands on two pillars: function *plus* loyalty. It is precisely the combination of the two principles that matters, even though there may be cases where they seem to contradict each other” (ibid). Furthermore, she says that “The function-plus-loyalty model is also an answer to those critics who argue that the functional approach leaves translators free to do whatever they like with any source text, or worse, what their clients like” (ibid).

It is clear that Nord has trouble reconciling radical functionalism (Vermeer’s) with her own version of it. She acknowledges that the two principles (Vermeer’s *skopos* and Nord’s loyalty) may contradict each other. Of course they contradict each other, because she is trying to link two opposite views of what translation is. Vermeer’s approach explicitly denies the importance of the source language text to the extent that he even says that it does not exist (clearly following Holz-Mänttari’s view), whereas Nord knows, perhaps thanks to her experience as a professional translator, that one cannot simply omit the original author’s intentions when one translates. In Vermeer’s initial 1978 proposal, the sender’s intention existed, but this was also ‘dethroned’ after 1986 (cf. above), and subsequently replaced by the commissioner’s intention. One key problem which shows that Vermeer’s and Nord’s theories are irreconcilable is that, as discussed above, Vermeer claims that his theory is exclusively prospective (target-oriented) as a reaction to linguistic equivalence-based theories, whereas Nord’s theory is both prospective and retrospective (source-oriented). Another substantial difference I see between these two functional approaches is that Vermeer’s is not intended to reflect what happens in actual translation, whereas Nord’s is aware of the fact that in many instances a translator is called on to respect and transfer what is actually said in the original. So her approach is closer to the translators’ real practice.

In real translation contexts, e.g. in literary texts, the original, as Kohlmayer (1988) points out, provides some guidance for the translator and a constant possibility of control (ibid: 146)⁶⁵. The translator becomes a kind of “detective who collects evidence, interrogates witnesses, places himself mimetically-hermeneutically in the author’s role and formulates a translational *hypothesis* whose value or truth content

⁶⁵ „So ergibt sich aus der Bindung ans Original doch auch eine gewisse Orientierungshilfe und ständige Kontrollmöglichkeit für den Übersetzer“ (Kohlmayer 1988: 146).

could reflect the optimal historical and individual possibilities for solving a problem” (ibid)⁶⁶. In assessing the value of the skopos theory for literary translation, Kohlmayer further says that the orientation towards the needs or wishes of the target public hinders not only the appropriate historical understanding of the structure and function of the source language text, but also favors a ‘paralyzing patronizing’ of the target public and a rigid reproduction of target language clichés (ibid). Kohlmayer is afraid that within the skopos framework, literary translation would become a client-oriented offer, where, from an economically-oriented perspective, ‘The client is the king’. “The functional theory would therefore be just the right recipe, with literature functioning as a consumer item for stable, homogeneous clients’ needs”⁶⁷ (ibid: 152). Newmark (1998) also expresses his reservations as regards this overemphasized client-commercial bias in Vermeer’s skopos theory:

Other disciplines, but hardly brain physiology, were seen as contributing to translation theory long before Vermeer came on the scene, but no one has explained his ideas more rigidly, in such commercial terms, excluding any moral, aesthetic or humanistic factor. (Newmark 1998: 76)⁶⁸.

On the other hand, J. Albrecht (1998), also within the framework of literary translation, considers that when one reads the skopos theory, the impression arises that a function constant between source text and target text would be the exception and not the rule (ibid: 259). If this were true, then, he says, it would not be possible to distinguish between translation and adaptation⁶⁹. And, for a translation to be

⁶⁶ „Der Übersetzer wird zum Detektiv, der Falten sammelt, Zeugen befragt, sich mimisch-hermeneutisch in die Rolle des Autors versetzt, der schließlich eine translatorische *Hypothese* formuliert, deren Annährungswert bzw. Wahrheitsgehalt den optimalen historischen und individuellen Möglichkeiten einer Problemlösung entsprechen könnte“. (Kohlmayer 1988: 146).

⁶⁷ „Die funktionale Übersetzungstheorie wäre folglich genau dort das richtige Rezept, wo Literatur als Konsumgut für stabile, homogene Kundenbedürfnisse funktioniert“. (Kohlmayer 1988: 152).

⁶⁸ Dizdar (1999: 105) seems to confirm Kohlmayer’s and Newmark’s reservations as regards the translation of literary texts within the skopos perspective when he explicitly says that as long as the literary TLT sells, the translation fulfills its goal.

⁶⁹ A similar claim has been made by Coseriu (1997), who recognizes that translation is a free and teleological activity, partly determined by the translator’s interpretations and intentions; however, “it does not mean that it is justifiable to radically modify the content of the original text to the extent that its primary or proper sense is ignored; or else, translation is not translation any more and becomes adaptation, imitation, or parody.” [“Como actividad libre y finalista, la traducción está, por supuesto, determinada, en cierta medida, también por la situación histórica, la interpretación y las intenciones del traductor (lo que justifica su posible variabilidad, a menudo en el mismo nivel de excelencia y “fidelidad”), pero esto no significa que sea lícito modificar radicalmente el contenido del texto original

acknowledged as such, it is necessary that a function constant holds at least in a very general sense (ibid). For Albrecht, the function of a translated text cannot be selected exclusively based on text external factors; it should include, at least partially, characteristics of the original from which it was derived (ibid). In the same direction, M. Appel (2004) states that in translated poetry, the skopos is partially limited and more closely defined because: “1. In literary texts it is not usual a change of function in the translation”, and “2. Poems should function as works of art” (ibid: 33). Thus, the function seems to remain constant in literary texts (both in prose and verse).

Likewise, Harhoff (1991) also stresses that if translation is seen basically as an information offer, which can be received differently by different people in different situations, then the text is dissolved into pure *subjectivity*: a text *is* not a text, as pointed out by Vermeer, but it is only *received* as such or such a text (ibid: 164). Harhoff also coincides with Koller and Albrecht and considers that if no category-related delimitation is made between translation and adaptation, one faces difficulties, for in every instance it would be an ‘information offer’ about an ‘information offer’ (ibid: 166). In addition, Harhoff also points out that, as the source text has been produced within a specific cultural background, when translating it, the translator should analyze the divergences between the source and the target cultural background. The translator can then determine what function will be assigned to the target text and how it will be expressed linguistically (ibid). This is a crucial point which Vermeer totally misses in his skopos theory, which, as we saw above, was initially more culturally oriented. Similarly, Munday (2001) says that even though Holz-Mänttari’s translational action approach is welcome for the inclusion of “real-world commercial translation constraints”, it “fails to consider cultural difference in more detail”. (ibid: 78).

As for Gerzymisch-Arbogast and Mudersbach (1998), they criticize several aspects of skopos theory (Reiß and Vermeer’s 1984 version). First of all, they point out that the rules proposed in the skopos approach are heterogeneous and do not allow us to recognize a cohesive presentation of a model which helps to determine the action in scientific translation. They also find Vermeer’s notion of skopos

y llegar hasta ignorar su sentido propio y primario; de otro modo, la traducción deja de ser traducción y se torna adaptación, imitación o parodia”.] (Cosieriu, 1997: 168,169).

problematic both conceptually and methodologically (ibid: 27)⁷⁰. They consider that the content of the concept of 'skopos' (also 'goal', 'function') is not clear and thus it is necessary to ask:

- what normative consequences, linguistic, cultural and textual, result from a supposed 'skopos', and,
- how the 'skopos' interacts with other determinants of translation such as type of text or the expected readership. (Gerzymisch-Arbogast 1998: 27)⁷¹

According to Gerzymisch-Arbogast and Mudersbach, this conceptual emptiness of the term 'skopos' provides the translator with no orientation for action in the decision-making process at the micro- or macrolevel (ibid). There is a lack of transparency and verifiability in the translation process as regards microlevel translational choices and the end result of the translation.

From another perspective, that of translation quality assessment, House (1997) considers that Reiß and Vermeer fail "to spell out exactly how one is to determine whether a given translation is either adequate or equivalent let alone how to linguistically realize the global 'skopos' of a translation text" (ibid: 12).

Finally, A. Kellat (1987) says that nowhere in Reiß and Vermeer's book is it clearly stated what the subject-matter of this theory is (ibid: 37)⁷². The skopos theory which intends to be a general theory of translation, should draw on examples from historically and geographically diverse cultures, both near and distant. However, the skopos theory resorts to texts of our time and our cultural circle. And these examples are not used as a scientific basis for this general theory, but simply as subordinate 'culture-specific special cases' (ibid: 38). Kellat also questions the rejection of linguistic research in the skopos theory and the "almost slave-like fixation of the

⁷⁰ „Abgesehen davon, daß die Gesamtheit dieser Regeln in ihrer Heterogenität keine zusammenhängende Modellvorstellung erkennen lassen, nach der das Handeln des wissenschaftlichen Übersetzens bestimmbar würde, ist vor allem der Skoposbegriff Vermeers begrifflich und methodisch problematisch“. (Gerzymisch-Arbogast & Mudersbach 1998: 27).

⁷¹ “-welche sprachlichen, kulturellen und textnormativen Konsequenzen sich aus einem angenommenen 'Skopos' ergeben, und
- in welcher Weise der ‚Skopos‘ mit anderen Determinanten der Übersetzung, wie z. B. der Textsorte oder dem antizipierten Leserkreis, interagiert“. (Gerzymisch-Arbogast & Mudersbach 1998: 27).

⁷² „An keiner Stelle der *Grundlegung einer allgemeinen Translationstheorie* wird klipp und klar mitgeteilt, was eigentlich Gegenstand dieser Theorie sein soll“. (Kellat 1987: 37).

authors on the norms of the corresponding target language or culture” (ibid: 39)⁷³. Then he asks what is being gained in this skopos theory by extending the concept of translation to include other text products such as adaptations, imitation, etc. (ibid: 42).

To sum up, the main contribution of Vermeer’s skopos theory to translatology has been the focus on the role of some of the participants in the translation process, especially the commissioner, the translator and the target readership. The translator and the commissioner are seen as collaborators who attempt to achieve the commissioner’s intention or skopos taking into account the needs of the target readership. The problem is that this was an extreme move, i.e. the source language text and the original author’s intention were simply discarded. The immediate consequence of this move is that the discipline itself, i.e. the science of translation, gains a subject-matter which has too wide a scope: almost any target-oriented text product (translation proper, adaptations, paraphrases, etc.) is a valid object of study as long as it is considered the product of translational action, i.e. the materialization of a given commissioner’s intention or skopos. The general nature of skopos theory is also called into question, when one analyzes some translated literary texts (cf. Neubert and Appel above) and sees that a function constant is not necessarily an exception, but rather a rule, where the source language text cannot be simply obliterated.

Another serious problem I see in Vermeer’s skopos theory is that there is a false conclusion drawn from the analysis of translational actions and the role of the doer of these actions. If it is true that translators sometimes are called on to do not translations proper but, let us say, adaptations, then it does not follow from this that what they do is always ‘translations proper’. This I understand as an attempt to overgeneralize one’s professional tasks under one single umbrella term: translational action. Thus, confusion arises because we are actually dealing with two identical terms designating different referents: ‘translation proper’ would be a subcategory of translational action and corresponds to the linguistically-oriented equivalence relationship between an SLT and a TLT; and ‘translational action’, the umbrella term for any ‘target-oriented text product’ which reflects a commissioner’s intention. When one acknowledges the existence and importance of the source language text, it

⁷³ „Die fast sklavische Fixierung der Autoren auf die Normen der jeweiligen Zielsprache bzw. Zielkultur“. (Kelletat 1987: 39).

does not imply that the only relationship that can be established between SLT and TLT is that of literalness, as Vermeer and Nord seem to believe (see above). This is only one possibility. On the other hand, as an immediate consequence of the almost complete obliteration of the source language text within Vermeer's skopos theory, it is not possible to carry out the kind of translation quality assessment proposed by House (1997).

2.3 Hermeneutic Approaches

As D. Robinson (1998) maintains, "Hermeneutics is an interpretive method developed by the German Romantics, especially Friedrich Schleiermacher (1767-1834) and Wilhelm Dilthey (1833-1911) and named after the Greek word *hermeneuein*, meaning 'to understand'" (ibid: 97). Therefore, it has to do with "an empathic projection of the interpreter's desire to understand into the activity s/he is attempting to understand" (ibid). Hermeneutists do not consider that the external object is stable and can be studied by an empirical science. On the contrary, they would "feel subjectively what it must have been like to be one of the writers of the Bible (the subject matter the method was originally developed for), and attempt to describe what they feel within" (ibid).

Key representatives of the hermeneutic approach in translation studies are F. Schleiermacher, G. Steiner, F. Paepcke, R. Stolze, and Kupsch-Losereit. According to R. Stolze (1999), Schleiermacher made it clear that "Hermeneutics has a deep relationship with history. Based on historical awareness, it should be acknowledged that no aprioristic knowledge of things in themselves exists independently from an interpretation by individuals" (ibid)⁷⁴. Speaking of G. Steiner, L. Venuti (2000) considers that his 1975 *After Babel* "is undoubtedly the most widely known work in translation theory since the Second World War" (ibid: 124). And he adds:

It opposes modern linguistics with a literary and philosophical approach. Whereas linguistics-oriented theorists define translation as functional communication, Steiner returns to German Romanticism and

⁷⁴ „Die Hermeneutik hat daher einen tiefen Bezug zur Geschichte. Aufgrund des geschichtlichen Bewußtseins muß man zugestehen, daß es keine von der Deutung der Individuen unabhängige apriorische Erkenntnis der Sachen an sich gibt.“ (Stolze 1999:116).

the hermeneutic tradition to view translating as an interpretation of the foreign text which is at once profoundly sympathetic and violent, exploitive and ethically restorative. [...]. Deepening Schleiermacher's recommendation that the German translators signal the foreignness of the foreign text, Steiner argues that 'great translation must carry with it the most precise sense possible of the resistant, of the barriers intact at the heart of understanding' (ibid: 378). (Venuti 2000: 124).

In 1975/2000, in 'The Hermeneutic Motion', George Steiner explains that "the hermeneutic motion, the act of elicitation and appropriative transfer of meaning is fourfold" (ibid: 186). The first moment is "the initiative trust, an investment of belief, underwritten by previous experience but epistemologically exposed and psychologically hazardous, in the meaningfulness, in the 'seriousness' of the facing or, strictly speaking, adverse text" (ibid). For Robinson (1998: 97), "the translator who stops at this stage produces painfully literal renditions: the SL words in their original sequencing are too wonderful to force into TL habitats". "After trust comes aggression. The second move of the translator is incursive and extractive" (Steiner 1975/2000: 187). According to Robinson, at this stage "the translator goes abroad, enters the SL text, driven no longer by passive trust but by the active intention of taking something away, of grabbing up fistfuls of meaning and walking off with them" (ibid). Or, in Steiner's words: "The translator invades, extracts, and brings home" (ibid).

The third move is incorporative, in the strong sense of the word. The import, of meaning and of form, the embodiment, is not made in or into a vacuum. The native semantic field is already extant or crowded. There are innumerable shadings of assimilation and placement of the newly-acquired, ranging from complete domestication, an at homeness at the core of the kind which cultural history ascribes to, say, Luther's Bible or North's Plutarch, all the way to the permanent strangeness and marginality of an artifact such as Nabokov's 'English-language' *Onegin*. (Steiner 1975/2000: 188).

For Robinson (1998: 98), "The translator who stops at this stage (since it is difficult to stop at the second, without bringing anything back), produces assimilative translations so thoroughly conformed to TL norms as to bear no trace of their origins in the SL". The final move is restitution: "The translator, the exegetist, the reader is *faithful* to his text, makes his response responsible, only when he endeavours to restore the balance of forces, of integral presence, which his appropriate

comprehension has disrupted” (Steiner 1975:2000: 190). For Robinson (1998: 98), “The translator has invaded the SL and stolen some of its property; now s/he makes restitution by rendering the SL text into a TL that is balanced between the divergent pulls of the SL and TL cultural contexts”.

On the other hand, in German neo-hermeneutic approaches, F. Paepcke (1986/1994) maintains that the basis of translation lies in understanding, not in theorizing. It is not restricted to linguistic behavioral patterns or reflexes; the unlimited is open to it⁷⁵. Now, “the text opens up precisely in the reading, it begins to play a role in translation because the translator has to select, from the overwhelming richness of the linguistic expressions, specific text perspectives to which he replies in the translation according to the offers of the text author”⁷⁶. With regard to the role of the translator, Paepcke makes it clear that “the translator is *acteur*, not *voyeur*; he is an actor, an active participant, not a wise interpreter of a translation handbook”⁷⁷. According to Paepcke, translation is like an open question; it should be understood as an unfinished process, which presupposes a theoretical impartiality which allows us to consider the target text not as static once and for all, but as dynamic in accordance with the flux of present-day modes of expression (ibid: 112). Besides, before translating a text, it should be ensured that the text is understood through a description of what is said in it. Access is gained to what is said by a focused reading which links what is said to what is meant. In this way an adequate orientation for translating is attained (ibid: 114).

According to R. Stolze (1986/1994), reading is basically an intuitive process in which the reader’s consciousness is guided by text signals. In reading, new sense horizons emerge which help the reader to widen his own horizon. For this to take place, previous existing knowledge should be limited but at the same time fostered, because only on the basis of what one already knows can the new horizons open up to

⁷⁵ „Entgegen aller Verkehungen hat das Übersetzen seinen Grund im Verstehen und vorzugsweise nicht im Theoretischen. Es bewegt sich nicht allein in sprachlichen Verhaltensmustern, es reagiert auch nicht zuverlässig in spracheigenen Reflexen, ihm steht das Unabgegrenzte offen“. (Paepcke 1986/1994: 106).

⁷⁶ „Der Text erschließt sich erst im Lesen, und er beginnt, beim Übersetzen zu spielen, weil der Übersetzer aus dem überwältigenden Reichtum der sprachlichen Formulierungsweisen textspezifische Perspektiven auszuwählen hat, die er nach den Angeboten des Textautors in der Übersetzung beantwortet“. (Paepcke 1986/1994: 108).

one (ibid: 134). Thus, “the translator transfers what he understands, and such an understanding is not final because human beings as understanding beings constantly change” (ibid: 135)⁷⁸. For Stolze, a translation cannot be detached from the translator’s individuality and historical circumstances; it is a constant process, ‘a hermeneutic design’ (Paepcke) (ibid: 136).

More recently, Stolze (2003: 11) has pointed out that translation studies so far have foregrounded models of the translation process; therefore, she proposes to study the problem of translation from a hermeneutic point of view, i.e. from the perspective of the person who translates⁷⁹. The focus should be on the way the translator approaches his text, and on the theoretical motivation for the expert translational action (ibid). Let me reiterate what I said above (cf. 1.1.2.1), when Stolze criticizes the empirical nature of translation studies. She considers that the discipline should ‘emancipate’ itself from those empirically-oriented approaches (i.e. Koller’s, Albrecht’s, Gile’s, etc.) and should focus on its proper subject matter: person-centered human translation (ibid: 30)⁸⁰. She regrets that in the different models proposed in translation studies (process-, action-, thought-oriented, etc) only the implicit ‘factors’ have been discussed whereas the ‘doer’ himself, the translator as a person, has been disregarded (ibid: 31)⁸¹.

In the translation process, the translator is also the author of the target text. He will present the message in such a way that receivers can have easy access to it. The goal of the translation is exactness and equivalence (as Stolze had already pointed out in 1982: 178). In relation to the receivers of the translation, all a translator can do, like any other author, is to extrapolate the intended effect. Whether this intention is actually realized is something beyond his control. Even if members of a community

⁷⁷ „Der Übersetzer ist *acteur*, not *voyeur*, er ist Spieler und Mitspieler, nicht kenntnisreicher Interpret eines Handbuchs über das Übersetzen“. (Paepcke 1986/1994: 111).

⁷⁸ „Der Übersetzer überträgt das von ihm Verstandene, wobei ein solches Verstehen nicht endgültig ist, da sich die Menschen als Verstehende beständig ändern“. (Stolze 1986/1994: 135).

⁷⁹ „Während theoretisch bislang die Modellierung des Prozesses im Vordergrund gestanden hatte, soll hier das Problem der Translation aus der Perspektive der übersetzenden Person dargestellt werden“. (Stolze 2003: 11).

⁸⁰ „Die TW kann sich vielmehr nur dann als eigenständige Wissenschaft emanzipieren, wenn sie ihrem ureigensten Gegenstand, der personzentrierten Humantranslation gerecht wird“. (Stolze 2003: 30).

⁸¹ „Ein wesentliches Manko der Übersetzungswissenschaft besteht unseres Erachtens nämlich darin, dass in der modellisierenden Darstellung des Übersetzungsvorgangs, -prozesses, -handelns, -denkens usw. nur auf die implizierten ‚Faktoren‘ eingegangen, aber von dem Handelnden selbst, dem Translator als Person abgesehen wird“. (Stolze 2003: 31).

share common languages, customs and expectations, everybody reacts in a different way (ibid: 35). For Stolze, the complexity of translating derives from the translator's double confrontation with what is foreign: he must make his a text which initially is not addressed to him and he must address potential readers with whom he would generally not deal (ibid: 36). (cf. above Steiner's hermeneutic motion). "His problem is that he cannot write independently and freely as a text author; he is always tied to the source language text (otherwise it would not be a translation anymore), and precisely because of this it is possible that he may not fulfil certain expectations on the part of the receiver"⁸² (ibid). According to her, in an empirically-oriented science the problem of how a translator does his job and what quality standards he follows is taken for granted as unproblematic (ibid). From her hermeneutic viewpoint, Stolze considers that "translation is a matter between the translator and his text and not between a source and a target language text, between two languages and cultures or between external action partners"⁸³ (ibid: 300).

For Stolze (2003: 300), one can only translate what one has understood and the way one has understood it. "Since the text truth to be translated is a cognitive phenomenon, a consciousness presence, then there can be no 'transfer' in translation"⁸⁴ (ibid). The text truth does not result exclusively from the author's intention because readers provide the text with coherence expectations (ibid: 301).

On the other hand, S. Kupsch-Losereit (2002: 99) considers that within a hermeneutic approach the understanding of a text is a continuous process which depends on forms of communication determined historically and socially. The text is read taking into account linguistic and non-linguistic knowledge, normative considerations, culture-specific conventions and traditions (ibid). Therefore, "understanding is the result of cognitive processes, most of them inferences" (ibid)⁸⁵.

⁸² „Sein Problem ist, dass er nicht unabhängig als Textautor frei formulieren kann, sondern immer an den Maßstab der zu übertragenden Textvorlage gebunden ist (sonst würde es sich nicht mehr um Übersetzen handeln), und genau aus diesem Grund auch bestimmte Erwartungen der Rezipientenseite möglicherweise nicht erfüllen kann“. (Stolze 2003: 36).

⁸³ „Translation ist eine Angelegenheit zwischen dem Translator und seinem Text, und nicht zwischen einem Ausgangs- und einem Zielttext, zwischen zwei Sprachen oder Kulturen oder unter externen Handlungspartnern“. (Stolze 2003: 300).

⁸⁴ „Da die zu übersetzende Textwahrheit ein kognitives Phänomen ist, eine Bewusstseinspräsenz, kann es in der Translation keinen ‚Transfer‘ geben“. (Stolze 2003: 300).

⁸⁵ „Verstehen ist somit das Resultat kognitiver Prozesse, meist von Inferenzen“. (Kupsch-Losereit 2002: 99).

These inferences link the text content to knowledge about the linguistic action, the experience and world knowledge involved (ibid). The translator's understanding and cognitive strategies depend on his previous knowledge, his intentions and goals, as well as on such target-culture aspects as the reader's presupposed previous knowledge and expectations (ibid). These latter factors will vary depending on the different cultural contexts brought into play. Thus, the translator should avoid any cultural misunderstandings (false inferences) derived from different cultural presuppositions about appropriate behavior and intention, diverse forms of structuring information and arguments, and specific text norms, and forms of expression (ibid).

Within the framework of literary studies, some well-known authors within the German tradition, such as R. Klopfer, F. Apel, and W. Iser, have also discussed the relationship between literary translation and hermeneutics. Klopfer (1967: 10) maintains that there can be no theory of literary translation without a theory of poetic art and hermeneutics⁸⁶. He also says that Scheleiermacher should be a point of reference since he was the first who explicitly subordinated interpreting to praxis and translating to art (ibid). For Apel (1983: 28), "the meaning or the sense of a text cannot be frozen in the form of knowledge, but should always be understood anew"⁸⁷. He further stresses that the translator's understanding does not reveal itself objectively but is opened up precisely by the translation's reader, and this materialization of the 'historically effective consciousness' (Gadamer, Jauss), occurs only together with other previous or simultaneous materializations (ibid). Therefore, from a hermeneutic viewpoint, "translation is not the reproduction of the objective sense or the objective meaning of a text, but a linguistic objectivation of an understanding of a text, historically and subjectively determined" (ibid: 21). Thus, translation research gains its scientific character not from such criteria as 'verifiability', 'evidence', or 'coherence' but only from the characterization of the relationship between some given meanings and the identity of the interpreting subject (ibid). On the other hand, for Iser (2001: 4), *the* interpretation of a text does not exist. There are only types of interpretation which can be distinguished by their degree of

⁸⁶ „Die Theorie der literarischen Übersetzung wird sich nicht von der Theorie der Dichtkunst und der Hermeneutik trennen lassen“. (Klopfer 1967: 10).

⁸⁷ „Die Bedeutung oder der Sinn eines Textes kann nicht in der Form des Wissens stillgestellt werden, sondern muß je und immer erneut verstanden werden“. (Apel 1983: 28).

translatability. “For, when we interpret, something emerges, and this ‘something’ which results from the act of interpretation is identical neither to the object nor to the register in which it is translated”⁸⁸ (ibid: 9).

2.3.1 Criticism on the Hermeneutic Approaches

D. Robinson (1998) criticizes Steiner’s fourfold movement because he wants to make it “an ideal model of every individual act of translation” (ibid: 99) and “he begins to treat them like stable categories for the classification of translations” (ibid). This is problematic because, for instance, Luther’s Bible and Nabokov’s *Eugene Onegin*, despite their differences, are both classified as incorporative by Steiner (ibid). Robinson also perceives that Steiner “does allow Goethe and Benjamin to inject a little of their messianism into his hermeneutic motion”, especially when Steiner maintains that “the true interlinear is the final, unrealizable goal of the hermeneutic act” (ibid). For Robinson, Steiner “wants literalism to serve both as a crude device at the beginning of the hermeneutic act, in the form of trust, and as its final, unrealizable goal, in an escalation of restitution” (ibid). Even though Robinson considers Steiner’s hermeneutic motion as “a salutary alternative to recent linguistic and sociological systems models developed for the process of translation” (ibid), he does not elaborate on it any further.

For Koller (1990: 24), the neo-hermeneutic focus “on the process of understanding not only proves inadequate to deal with the process of synthesis (and its result, i.e. the object ‘translation’), but it fails to deal with the original text which is provided for the translator’s act of understanding (or even worse, for his pure ‘intuition’)⁸⁹. Koller discusses Paepcke’s analysis of Canetti’s *Die gerettete Zunge*, and points out Paepcke’s lack of careful treatment when citing the original, something which Koller does not consider a trivial issue, because the words of the original

⁸⁸ „Denn wenn wir interpretieren, entsteht etwas, und dieses etwas, das aus dem Interpretationsakt hervorgeht, ist weder identisch mit dem Gegenstand noch mit dem Register, in das dieser übersetzt wird.“ (Iser 2001: 9).

⁸⁹ „Bei der neuhermeneutischen Konzentration auf den Verstehensprozeß kommt nicht nur der Syntheseprozeß (und dessen Resultat, d. h. der Gegenstand ‚Übersetzung‘), zu kurz, sondern auch der Originaltext, der dem Verstehensakt (oder schlimmer noch: der reinen ‚Intuition‘) des Übersetzers ausgeliefert ist.“ (Koller 1990: 24).

should be respected.

On the other hand, Koller (1992: 209) maintains that in the hermeneutic approaches, especially in Stolze's proposal, the question concerning the delimitation of the subject-matter of translation studies does not seem to be posed. Making the act of understanding absolute and focusing on the source language textualization lead to a narrowing of the translational problem and its scope: linguistic-stylistic problems which can be apprehended systematically and regularities in the production of translations, as well as the relationship to the target reader, are not taken into account (ibid). "The idea that even interlinguistic communication is (at least partially) rule-derived is simply discarded as 'wrong'" by Stolze (1987: 108)⁹⁰ (ibid). For Koller, what distinguishes the concept of science from the neo-hermeneutic approach is that "all that sounds similar to systematization and typology seems to be suspicious." According to Koller, within the hermeneutic approach, as every text demands an individual-creative understanding and interpretation, then every act of translating refers us to one single text and, thus, is unrepeatable (ibid). In this same line, House (1997: 3, 4) states:

The aversion of propagators of this [hermeneutic] approach against any kind of objectivization, systematization and rule-hypothesizing in translation procedures leads to a distorted view of translation and a reduction of translation research to examining each individual translation act as an individual creative endeavor. (House 1997: 3, 4).

To sum up, translational hermeneutic approaches strive to focus on the translator's understanding and interpretation processes as fundamental issues in the translation process. The problem is that this overemphasis on subjective individual interpreting processes may render any kind of systematic, scientific approach to translating almost impossible. Besides, I think that it is an undeniable fact that one can make sense out of the original because there is already something meaningful in it. The interpreter or translator does contribute to this semiotic process of meaning production by activating his previous experience, but the point of departure is some sort of meaning which is *in* the source language text. If there were nothing

⁹⁰ „Die Auffassung, daß auch interlinguale Kommunikation (mindestens teilweise) regelgeleitet ist, wird schlichtweg als ‚irrig‘ apostrophiert“ (Koller 1992: 209).

meaningful in the original which remains so in the translating process, then there would be as many meanings as interpreters *ad infinitum*. However, cognitive research (cf. Kintsch and van Dijk 1978) has demonstrated that, despite individual differences in text understanding, some common semantic core is still clearly identifiable.

2.4 Deconstructionist and Poststructuralist Approaches

Some of the most important representatives of these approaches in translation studies are W. Benjamin, J. Derrida, A. Berman, and L. Venuti. W. Benjamin had some influence on Derrida and Berman, and they all influenced Venuti. Derrida also had some bearing on postcolonial thinkers such as Arrojo, Niranjana, and Spivak, as we will see in the next section.

Benjamin's ideas on translation are expressed in his paper "The Task of the Translator" (2000), initially published in 1923. One of the first issues Benjamin deals with is translatability which he sees as "an essential quality of certain works" (ibid: 16). And he further explains, "which is not to say that it is essential that they be translated; it means rather that a specific significance in the original manifests itself in its translatability" (ibid). Then, he maintains that there is a link, 'a vital connection', between the original and its translation, and states that "a translation issues from the original –not so much from its life as from its afterlife" (ibid). For Benjamin, this relationship of life and afterlife should be regarded "with an entirely unmetaphorical objectivity" (ibid). The key factor within this framework is to acknowledge that the range of life is 'determined by history', not 'by nature'. Like a work of art, a translation survives, realizes the potential of 'eternal life in succeeding generations'. Translation transcends itself and "ultimately serves the purpose of expressing the central reciprocal relationship between languages" (ibid: 17). Benjamin considers that languages are related to each other "in what they want to express" (ibid). Thus, when an original is translated, in its afterlife, in its translation, there is some transformation, "the renewal of something living –the original undergoes a change" (ibid). An intention underlines each language, and the totality of intentions supplementing each other is what Benjamin calls 'pure language'. So, translation plays the role of supplementing different languages in search of their intentions, of that pure language.

Thus, “the task of the translator consists in finding that intended effect upon the language into which he is translating which produces in it an echo of the original” (ibid: 20). And Benjamin argues for literalness in these terms:

The significance of fidelity as ensured by literalness is that the work reflects the great longing for linguistic complementation. A real translation is transparent; it does not cover the original, does not black its light, but allows the pure language, as though reinforced by its own medium to shine upon the original all the more fully. This may be achieved, above all, by a literal rendering of the syntax which proves words rather than sentences to be the primary element of the translator. For if the sentence is the wall before the language of the original, literalness is the arcade. (Benjamin 2000: 21).

Literalness is justified, then, to the extent that it allows the true or pure language underlying the original to be seen through its translation. Therefore, it does not matter that “a translation touches the original lightly and only at the infinitely small point of the sense, thereupon pursuing its own course according to the laws of fidelity in the freedom of linguistic flux” (ibid: 22).

According to Niranjana (1992: 142), “another post-structuralist version of Benjamin’s translation essay [“The Task of the Translator”] [is] Jacques Derrida’s ‘Des Tours de Babel.’” As Niranjana says, the myth of Babel, “for Derrida, tells ‘of the inadequation of one tongue to another’ and ‘of the need for figuration, for myth, for tropes, for twists and turns, for translation inadequate to compensate for that which multiplicity denies us’” (ibid: 143). I think there is a common element in this view by Benjamin and Derrida: both consider that the multiplicity of languages does not allow us to get to the original. However, there is also a difference: whereas this apparently unattainable goal of the pure original language, for Benjamin, is somehow approachable through translation, for Derrida this is not the case, because translation is inadequate. Furthermore, for Derrida (1985: 171) the myth of Babel “recounts, among other things, the origin of the confusion of tongues, the irreducible multiplicity of idioms, the necessary and impossible task of translation, its necessity *as impossibility*.” On the contrary, as we saw above, Benjamin does consider translation as a possibility, especially in its literalness or interlinear versions. Thus, according to Niranjana, for Derrida, Benjamin’s restitution of meaning is impossible (ibid: 147). On the other hand, Derrida coincides with Benjamin in considering

translation as transformation, and the original needs supplementation, as Benjamin maintains, because “at the origin it was not there without fault, full, complete, total, identical to itself” (Derrida 1985: 188).

In a recent interview, *Jacques Derrida, penseur de l'évènement* (January 28, 2004) published in *L'Humanité*, J. Derrida discusses his view of what deconstruction is. He points out that he began to reflect on writing (*l'écriture, le texte*) more than forty years ago. What interested him initially was the writing of literature. Initially he asked himself what writing is, what happens when one writes⁹¹. In order to answer this question, Derrida had to “broaden the concept of text and to attempt to justify this extension”⁹² (ibid). It is within this context that he uttered his well-known statement that “there is nothing outside of the text” (“Il n’y a pas de hors texte”), which he explains as follows: “It does not mean that everything is paper, saturated with writing, but that all experience is structured as a network of traces which refer to something different from themselves”⁹³ (ibid). And he further explains that there is no present which constitutes itself without referring to another time, another present: the present-trace. Derrida includes the voice itself in the notion of trace because it has been subordinated in philosophy. From the time of Ancient Greece, writing was subordinated to the word (logocentrism), and now there is the living present of the voice (phonocentrism). So, out of necessity a critique has been carried out, “but [...] deconstruction is not a critique. It is not an evaluative judgement or a process of disqualification [...] or a method. [...] Deconstruction does justice to interpretations of readings, writings, of transformation of the general text, which are so many events”⁹⁴ (ibid). Derrida’s poststructuralist stance is clear when he maintains that even though nothing escapes the text, the text is not an autonomous totality. And he adds that due

⁹¹ « J’ai commencé, il y a presque quarante ans par une réflexion sur l’écriture, le texte. Ce qui m’importait, au début, et bien que je suis devenu par profession un ‘philosophe’, c’était l’écriture littéraire. Qu’est-ce qu’écrire, me demandais-je ? Qu’est-ce qui se passe quand on écrit ? » (Derrida 2004).

⁹² « Pour répondre, j’ai dû élargir le concept du texte et essayer de justifier cette extension ». (Derrida 2004).

⁹³ « ‘Il n’y a pas de hors texte’ ne veut pas dire que tout est papier, saturé d’écriture, mais que toute expérience est structurée comme un réseau de traces renvoyant à autre chose qu’elles-mêmes ». (Derrida 2004).

⁹⁴ « Cela dit, et malgré la nécessité de la critique, la déconstruction n’est pas une critique. Elle n’est ni jugement évaluatif ni procès de disqualification. Pas plus d’ailleurs qu’elle n’est [...] une méthode. [...] La déconstruction fait droit à des interprétations de lecture, d’écriture, de transformation du texte général, qui sont autant d’évènements ». (Derrida 2004).

to the structure whose traces compose the text, which open up to something different from them, the totality cannot be closed. This excludes the totalizing, the closing, and the completing of the text as well as its value as a system. “Deconstruction is not a system. [...] It is a singular adventure whose gesture depends each time on the situation, the context, especially the political context of the subject, on his rooting in a place and a history, and which allow him, in some way, to underwrite the deconstructive gesture.”⁹⁵

A. Pym (1993) has reviewed the contribution of Derrida’s ideas to translation studies. For Pym, some of Derrida’s main ideas were already present in his 1967 *De la grammatologie*. Derrida’s point of departure is a discussion of Saussure’s conception of the linguistic sign. For Saussure, a linguistic sign is made up of a signifier and a signified. However, Saussure did not take into account that besides speaking, a spoken signifier, there is also writing, a written signifier. This is an issue Derrida observed and, for Pym, “the written signifier can then travel out on its adventures into the world, available to be interpreted in many different ways, according to many different models” (ibid: 39). Consequently, for Derrida, writing “isn’t just a matter of writing things down. It’s a process that involves a distance, a breaking up of what Saussure thought was the semantic unity of signifiers matching signifieds” (ibid). This distance is what Derrida calls *différance*, “pronounced like *différence* but spelt with an *a* to signify at once ‘difference’ and ‘deferment’ [postponement], indicating that semiosis works not just between different positions but also through time” (ibid: 39). Thus, for Derrida meaning is not, as Saussure thought, a one-to-one relationship. “There’s always another signifier [the written one], even in the beginning” (ibid). As Pym maintains, if “meaning always has to be created afresh, then you don’t waste much time looking at the author of a work; you’re much better off sitting down with the text itself and trying to make sense of it.” (ibid). This relativizes the role of the original author’s intention in the translation process. Translators would only interpret what they understand, and this, in turn, is interpreted by others in a different way, so that meaning is always in a continuous

⁹⁵ « La déconstruction n’est pas un système [...] C’est une aventure singulière dont le geste dépend à chaque fois de la situation, du contexte, politique notamment, du sujet, de son enracinement dans un lieu et une histoire, et qui lui permettent, en quelque sorte, de signer le geste déconstructif ». (Derrida 2004).

unfolding, a tenet that was also shared by hermeneutic approaches as we saw above. Thus, Derrida (cited by Hatim 2001) puts his conception of translation in a nutshell as follows:

Difference is never pure, no more so in translation and for the notion of translation we would have to substitute a notion of transformation: a regulated transformation of one language by another, of one text by another. We will never have, and in fact have never had, to do with some 'transport' of pure signifieds from one language to another, or within one and the same language, that the signifying instrument would leave virgin and untouched. (Derrida 1981: 4).

For Holmes (1988g: 106), deconstructionism represents a different paradigm in literary translation studies from those of traditional approaches which strove to "demonstrate that despite all the paradoxes and contradictions apparent at the surface of a text, there was an underlying unity to it" (ibid). On the contrary, a deconstructionist "seeks the contradictions and paradoxes which uncover the underlying motives, desires and frustrations the author of the text has done his best to hide" (ibid). In Hatim's (2001: 48) words, "what would be considered peripheral in a text is usually seized on by the deconstructionists in an attempt to bring out hidden meanings and concealed ideological values." According to Hatim, in the deconstructionist approach "it is the original text which is actually dependent upon the translation and not the other way around, since without translation the original would simply remain 'undiscovered'" (ibid). As I mentioned above, this same idea is already present in Benjamin, who considers that the translation in its afterlife helps to secure the survival of the original. Likewise, for Hatim, Arrojo (1998) considers that the key concern in deconstruction is "the constant questioning of the myth that meaning is intrinsically stable and fully present in texts, and that it can be recoverable and can thus be transported intact across linguistic and cultural boundaries" (ibid).

On the other hand, Arrojo (1999) also acknowledges that this same instability in meaning renders it difficult to define deconstruction itself:

The recognition that deconstructive thought calls into question the belief in the stability of the meaning of a word or a concept explains the difficulty of defining deconstruction and discussing its inherent implications for translation in a few sentences. (Arrojo 1999: 101)⁹⁶.

For Arrojo, Derrida himself said that deconstruction had to do with destruction, desedimentation of all meanings whose origin resides in the logos (ibid). The immediate consequence of this for translation is that all traditional translation theories which start out from an idealized transfer of unchanged meanings from one language to another, from one culture to another, are called into question, without taking into account the translator's intervention or his translation situation (ibid). As the main issue in deconstruction is difference, then the traditional conception of the text as a static protective case for the author's intended and allegedly reproducible meaning is radically reviewed. Consequently, translation is seen as a constant transformation of one language through another one, of one text through another one (ibid).

L. Venuti's stance on translation is initially influenced by such poststructuralist authors as W. Benjamin and Paul de Man. For Venuti, these authors "argue that what makes the foreign text original is not so much that it is considered the coherent expression of authorial meanings, but that it is deemed worthy of translation, that it is destined to live what Benjamin calls an 'afterlife' (*Überleben*) in a derivative form like translation." (Venuti 1992: 7). Venuti also recalls Derrida's concept of *différance* (cf. above) and interprets it as "the signifying movement in language whereby the signified is an effect of relations and differences along a potentially endless chain of signifiers and therefore is always differential and deferred, never present as a unity" (ibid). Consequently, as Venuti puts it, "the originality of the foreign text is thus compromised by the poststructuralist concept of textuality [...]", according to which, "neither the foreign text nor the translation is an original semantic unity", both are "derivative and heterogeneous, consisting of diverse linguistic and cultural materials which destabilize the work of signification" (ibid). Within this poststructuralist framework, which challenges the meaning of the

⁹⁶ „Die Erkenntnis, daß das dekonstruktivistische Denken den Glauben an die unveränderliche Bedeutung eines Wortes oder Begriffs in Frage stellt, erklärt die Schwierigkeit, Dekonstruktion zu definieren und ihre wesentliche Implikationen in einigen Sätzen zu diskutieren.“ (Arrojo 1999: 101).

original's authorship, Venuti (1992: 1) introduces his reflection on the invisible role the translator has usually played in translation: "Translation continues to be an invisible practice, everywhere around us, inescapably present, but rarely acknowledged, almost never figured into discussions of the translations we all inevitably read." A. Berman (1984: 14) had also made explicit this ancillary condition of translation: "I refer here to something which cannot be omitted: the hidden, stifled, condemned, and *ancillary* condition of translation, which has an effect on the status of translators to the extent that nowadays it is hardly possible to make of this activity an autonomous profession."⁹⁷ Furthermore, for Berman, translation should not be ethnocentric, which means that "the essence of translation is to be open, dialogue, hybridation, decentering. It is a relating to something, or it is *nothing*."⁹⁸ Venuti reinforces Berman's view of translation as regards the translator's role, generally 'erased' (Berman speaks of *l'effacement du traducteur*), and translation as a non-ethnocentric activity (Benjamin had already pointed in the same direction, cf. above). In Venuti's words:

The translator remains subordinate to the author of the original work, whether in the translator's own acts of self-presentation or in academic institutions, publishing companies, and legal codes. The originality of translation rather lies in self-effacement, a vanishing act, and it is on this basis that translators prefer to be praised. (Venuti 1992: 4).

This vanishing act by the translator is judged to be successful by "editors, publishers, reviewers, readers, by translators themselves, when it [the translation] reads fluently, when it gives the appearance that it is not translated" (Venuti, *ibid*). For Venuti, fluency is responsible for the 'effect of transparency', which 'evokes the individualistic illusion of authorial presence'. In this fluency-oriented process, translators suffer 'cultural marginality and economic exploitation' (*ibid*: 5). And, "in this rewriting, a fluent strategy performs a labor of acculturation which domesticates the foreign text, making it intelligible and even familiar to the target-language reader"

⁹⁷ « Je fais référence ici à quelque chose qui ne peut pas ne pas être évoqué : la condition occultée, refoulée, réprouvée et *ancillaire* de la traduction, qui répercute sur la condition des traducteurs, à tel point qu'il n'est guère possible, de nos jours, de faire de cette pratique un métier autonome ». (Berman 1984: 14).

(ibid). So, “domestication is an ethnocentric reduction of the foreign text to target-language cultural values” (Venuti 1995: 20). Opposite to this appears foreignization, which is “an ethnodeviant pressure on values to register the linguistic and cultural difference of the foreign text, sending the reader abroad” (ibid). As pointed out by Munday (2001: 146), Venuti’s domesticating and foreignizing methods are akin to those discussed by Schleiermacher when describing two options in translation: the translator either ‘leaves the reader in peace, as much as possible, and moves the author towards him’ (domesticating), or ‘leaves the writer alone, as much as possible and moves the reader towards the writer’ (foreignizing). Venuti favors the foreignizing method in order to make translators visible and advocates a strategy he calls ‘resistancy’. In this, Venuti also follows Berman (1984: 17), who, from an ethical stance, attempts to avoid ethnocentric, i.e., bad translations: “I call a bad translation, a translation which, usually under the guise of transmissibility, performs a systematic negation of the strangeness of the foreign work.”⁹⁹ More recently Venuti has insisted on this foreignizing method, but tends to call it ‘minoritizing’, or as Munday (2001: 147) says, “[cultivating] a varied and ‘heterogeneous discourse’.” In linguistic terms, this means adhering to the SL structure and syntax, using calques, archaisms, etc. Clearly, this minoritizing strategy or foreignizing method goes hand in hand with Benjamin’s advocacy of literalness, even though Venuti does not go so far as to propose an interlinear version (see above). Besides, I think that in his foreignizing strategy, Venuti draws on and invigorates Benjamin’s and Berman’s non-ethnocentric-oriented agendas.

2.4.1 Criticism on Deconstructionist and Poststructuralist Approaches

For Newmark (1991: 57), Derrida follows Benjamin’s approach to translation in that “translation does not depend on any theory of reception nor does translation have any form of communication as its essential mission.” Benjamin, says Newmark, “sees a translation neither as a copy nor as an interpretation but as the complement or the

⁹⁸ « L’essence de la traduction est d’être ouverte, dialogue, métissage, décentrement. Elle est mise en rapport, ou elle n’est *rien*. » (Berman 1984: 16).

⁹⁹ « J’appelle mauvaise traduction la traduction qui, généralement sous couvert de transmissibilité, opère une négation systématique de l’étrangeté de l’oeuvre étrangère ». (Berman 1984: 17).

completion of the original.” Then, Newmark asks, “What can the translator learn from Derrida and his adepts?” (ibid). And he answers, “Mainly I think a kind of sensitisation, an awareness of the slipperiness of meaning, the continual displacement, difference, dissemination, disuse, deposition, deconstruction, which, according to Derrida, calls all translation into question if it affects subtle texts.” (ibid).

In assessing the impact of deconstruction in America, Pym (1993: 42) says that it has helped to break down traditional binary gender distinctions where signifiers “indicating homosexuality, transvestites, and the rest” had traditionally been excluded. And he further expands, “As we all are, a bit one way or the other. The falsely structured world can be broken down to reveal a more real, more dynamic, more loosely structured world. [...] It can open up a far more plural, far more multicultural society” (ibid). On the other hand, within the framework of translation, Pym considers that a deconstructionist stance would contradict Newmark’s emphasis on the words ‘authority’ and ‘author’, “mostly in conjunction with his idea of the “authoritative text” (ibid: 43). And to support his criticism of Newmark’s view of the role of the author in translation, Pym adds, “But then, an elementary deconstructionist would have to ask how anyone can really know what the author meant” (ibid). And Pym replies, “I can only *interpret* the text [Pym’s emphasis], and then you can interpret my interpretation in accordance with your interpretation, and so on. And meaning will be moving along” (ibid). However, as we saw above, Newmark sees the contribution of deconstruction to translatology precisely in the acknowledgement of the fact that meanings are slippery or, in Pym’s words, that they move along. Despite his interest in deconstruction, Pym also points out some limitations of this approach. For him, “deconstruction can be used to cover over what would otherwise consider the hard facts of the past. It’s a very ambiguous instrument of liberation” (ibid: 46). He refers to Paul de Man, who favored the Nazi cause and then “did much to apply deconstruction to history [...] arguing that history itself has no firm meaning and is only a series of interpretations. But you see, someone who supported the Nazis, and who wanted to hide that support, is very interested in saying that history is always open to interpretation” (ibid). Then, after analyzing Wittgenstein’s statements about beliefs concerning the main facts of geography, such as “that the earth is a body on

whose surface we move”, Pym concludes that “we can say that no matter how much an approach like deconstruction might be useful for studying translation, at some particular points you have to believe in something that you’re not going to deconstruct. If you don’t, you’ll have to doubt everything, and you will be unable to take any real action” (ibid).

Perhaps the strongest contentions against J. Derrida’s deconstructionist stance are those presented and discussed by J. Searle (1996). Searle begins by analyzing Derrida’s definition of meaning, “the view of Jacques Derrida that meaning is a matter of, well, what? Meanings are ‘undecidable’ and have ‘relative indeterminacy’, according to Derrida. Instead of fully determinate meanings, there is rather the free interplay of signifiers and the grafting of texts onto texts within the textuality and the intertextuality of texts” (ibid: 102). For Searle, Derrida ignores “certain fundamental linguistic principles” (ibid: 104). And once one understands them, “then many of the issues in literary theory that look terribly deep, profound, and mysterious have rather simple and clear solutions” (ibid). Searle also deals with what he calls “some rules of investigation”, and explains, “Now let me say in advance that, of course, there is nothing sacred about these principles. Perhaps we can refute all of them. But I also have to tell you in advance that there are certain rules of the investigation. The first is this: If I say, for example, ‘There is a distinction between types and tokens,’ it is not enough to say ‘I call that distinction into question.’ You actually have to have an argument” (ibid: 105). When explaining the background of interpretation, Searle introduces two key terms: background and network:

The functioning of meaning in particular and intentionality in general is only possible given a set of background capacities, abilities, presuppositions, and general know-how. Furthermore, in addition to the preintentional background the functioning of meaning and intentionality generally requires a rather complex network of knowledge, beliefs, desires, etc. (Searle 1996: 105).

We can understand an utterance correctly, “because each utterance presupposes a whole cultural and biological Background (in addition to a Network of beliefs, etc.)” (ibid: 106). Searle recalls another distinction, that between types and tokens, which was first formulated by Charles Sanders Peirce. And he explains it as follows: “If, for example, I write the word ‘dog’ on the blackboard three times, have I

written three words or one? Well, I have written one *type* word, but I have written three different *token* instances of that word. That is, the token is a concrete physical particular, but the type is a purely abstract notion” (ibid: 108). Searle mentions this distinction because “in fact a fair amount of the confusion in literary theory rests on a failure to get that distinction straight” (ibid). Searle criticizes here Derrida’s notion of ‘*iterabilité*’ because “the notion is very ill-defined in his work. He is unable to say clearly what the domain of its application is, what entities exactly are iterable” (ibid). For Searle, Derrida speaks of ‘marks’ and ‘signs’, “but actual marks and signs, that is actual physical tokens, are precisely not iterable. It is rather the *type* of mark that can have different instantiations” (ibid). And concludes, “Derrida lacks a clear answer to the question, ‘What is it that gets iterated?’ in part because he seems to be unaware of this distinction” (ibid). Another crucial distinction is that between the use of expressions and the mention of expressions. “If, for example, I say ‘Berkeley is in California’, I use the word Berkeley to refer to a city. If I say ‘‘Berkeley’ has eight letters,’ I am mentioning the word ‘Berkeley’ and talking about it” (ibid: 109). For Searle, “when Derrida speaks of what he calls *citationalité*, one would think that he is talking about the use-mention distinction, but, as with *iterabilité*, he does not give a coherent account of the notion, and this leads him to say things that are obviously false” (ibid). Searle mentions one of Derrida’s examples where this confusion is evident, “He [Derrida] thinks that when a play is put on the actors in the play do not actually use words, they are only citing them. [...] In the standard case of producing a play, the actors produce the words written by the playwright, they actually *use* the words, and they do not *mention* or *cite* them” (ibid).

Another key distinction Searle mentions is that between sentence meaning and speaker meaning. “It is crucial to distinguish what a sentence means (i.e., its literal sentence meaning) and what the speaker means in the utterance of the sentence” (ibid: 110). Clearly linked to this distinction is the question Searle poses, “Does the author’s illocutionary intention determine what speech acts he or she is performing; that is, what intentional speech acts he or she is performing in the production of a text?” (ibid: 121). And Searle answers, “To this question, I hope, it is obvious that the answer is yes” (ibid). Then, Searle poses a second question in this respect, “Does the author’s intention determine how the text is interpreted; does it determine the

meaning that the hearer understands? I hope it is obvious that the answer to this question is no. Notoriously, authors are understood in ways that are quite different from what they actually intended” (ibid). For Searle, the most obscure case which appears in deconstruction is Derrida’s attempt to ‘deconstruct’ the notion of meaning that occurs in the theory of speech acts. “Derrida claims that since the very same text can function totally detached from any authorial intention, the author cannot control the meaning of his utterance. Because the sign is subject to ‘iterability’ and ‘citationality’ the horizon of the author’s intention is insufficient to control the free play of signifiers” (ibid: 123). To discuss this point, Searle clarifies, “intentions -along with other biological phenomena such as beliefs, desires, and so forth- function only within a highly contingent Network of other intentional states and against a preintentional Background of capacities” (ibid: 124). And Searle further explains, “The fact that someone might perform *another* speech act with a *different* token of the same type (or even another speech act, with the same token) has no bearing whatever on the role of the speaker’s utterance meaning in the determination of the speech act” (ibid). He concludes, “Derrida holds the bizarre view that speech-act theory is somehow committed to the view that the intentionality of the particular token speech act must somehow control every subsequent occurrence of tokens of the same type” (ibid:127). For Searle, “it is just a simple confusion to suppose that from the fact that I say something and mean something by what I say, and somebody else might use other tokens of those very words and sentences to mean something completely different, it follows that somehow or other I have lost control of my speech act” (ibid).

As regards Venuti’s contribution to translation studies, Pym (1998: 74) begins by revising the way figures are presented by Venuti in his 1995 *The Translators’ Invisibility. A History of Translation*, and he maintains that “no statistical distribution of translations, be it across time or space, is entirely neutral”, and points out that, when presenting some data on the publishing industry of originals and translations, Venuti “is not above producing strangely manipulative sentences” (ibid: 72). As an illustration of this, Pym cites the following sentence by Venuti: “British and American book production increased fourfold since the 1950s, but the number of

translations remained roughly between 2 and 4 percent of the total.” (Venuti 1995: 12).

For Pym, based on the information Venuti himself provides, the manipulation consists in presenting a biased picture of reality: “book production increased *and* translation production increased. ‘And’, not ‘but’” (ibid). Besides, with regard to the ‘resistant’ strategy proclaimed by Venuti, Pym says that “one might imagine Venuti’s generalized call for ‘resistant’ translators being socially cordoned off as a trick for intellectuals, thus causing virtually no changes beyond an academic coterie”¹⁰⁰ (ibid: 121). Likewise, Pym criticizes Venuti’s assumption that translators belong to the target culture: “This can be seen in minor slips like his suggestions that translators working into English somehow need to defend their ‘rights as a British or American citizen’ (1995: 9)” (ibid: 179). And he reminds us that he works into English, but he is neither British nor American. Again, from a practice-oriented standpoint, Pym assesses Venuti’s translational approach:

A fourth strategy can be found in Lawrence Venuti, who takes up cudgels not in defence of translated texts but on behalf of translators as a social group. Translators, it seems, form an oppressed profession. Since part of the blame for their situation can be traced back to traditional ways of thinking about translation, Venuti proposes a magnanimous ‘intervention’ by theorists of marxism, postcolonialism, deconstruction, psychoanalysis and feminism (1992: 1,6), a mix strangely reminiscent of my undergraduate comparative literature. Nothing suggests translators ever called for an intervention of this kind. But that’s surely beside the point. Like the descriptivists’ strategy, the belligerent decrying of exploitation has upset remarkably few people. It remains grist of the mill of an expanding academic research industry. (Pym 1998: 198).

In analyzing *The Vision*, H. F. Cary’s translation of Dante’s *Comedy* into English, first published in 1814, Edoardo Crisafulli (1999: 97) rejects “Venuti’s (1995: 65, 99,309) contention that the dominant criterion in Anglo-American culture, transparency, necessarily implies a view in which the translator sees him/herself as a humble decoder of a coherent original message which may be grasped and transferred

¹⁰⁰ Neubert & Shreve (1992) also relativize the use of this ‘resistant’ strategy, especially when dealing with pragmatic texts: “Frankly, for most translators this whole argument is a non-issue. Pragmatic texts make up the bulk of their work. Perhaps of greater concern for serious practitioners and eager users of translation is the great amount of translation which is neither destructive nor constructive, but simply awful” (ibid: 4).

unaltered to the target text.” Based on the evidence presented in his article, Crisafulli also maintains that “it is not necessary for the translator to disrupt the ‘target-language cultural codes’, as Venuti says, in order to present a complex image of the translation process and cast doubt on the possibility of rewriting the source text faithfully, which presumably is one of Venuti’s aims” (ibid: 99).

As regards the issue of the lack of evidence provided by Venuti to support his views, Maria Tymoczko (2000: 35) also points out that Venuti “tends to assert things rather than argue for them or present evidence for them.” And as Crisafulli above, Tymoczko also maintains that “for example, he claims that fluency is the dominant standard for translations in the United States at present, but offers little evidence of the claim, except for his own experience, experience which is based primarily on the translation of nineteenth- and twentieth-century literary works between European languages.” (ibid). Besides, from a postcolonial stance, Tymoczko states that “*cultural dominance* results in translations with deformed textual and cultural representation that serves the interest of the dominant receptor culture” (ibid). This kind of deformation “is not necessarily to be associated with a single type of translation method, such as fluency. Rather, any translation procedure can become a tool of cultural colonization, even foreignizing translation” (ibid).

For Arrojo (1995: 30), “transparency idealized by tradition is not exactly a neutral, ethical stance which any conscientious translator will have to adopt; it is, rather, a strategy that necessarily serves certain interests.” As regards the most important consequence poststructuralism could bring to translation studies, Arrojo considers that it is “precisely a thorough revision of the relationships that have generally been established between originals and translations, between authors and translators, and between translators and their readers, which are no longer adequately described in terms of the traditional notions of meaning recovery, fidelity or equivalence” (ibid).

To sum up, I think that within these deconstructionist and poststructuralist approaches a theory of translation can hardly –if ever- be formulated if the claim is made that translation is not a communication process, as Benjamin and Derrida maintain. The source language text and author and the target language text and receivers cannot be simply obliterated. It may be true, as Newmark says following

Derrida, that meanings are complex and slippery; having acknowledged this, it is also true, as Pym (1993: 46) maintains, that ‘referential reality isn’t open to debate’. This means, I think, for our theoretical translational purposes, that the source language text and author and the target language text and receivers do actually exist and are not simply a product of our imagination. Besides, as convincingly demonstrated by Searle, once a terminological clarification and an adequate conceptualization are made as regards such key terms in speech act theory as type and token, background and network, use and mention, sentence meaning and speaker meaning, Derrida’s apparently mysterious and allegedly novel notions such as iterability and citability are easily and thoroughly spelt out.

On the other hand, Venuti has rightly pointed out a fact of which all professional translators are well aware: our professional status seems to be socially undervalued. However, this fact cannot lead us simply to advocate a foreignizing translational strategy which strives for visibility at all costs in order to counterbalance this situation. As Crisafulli and Tymoczko maintain, a domesticating fluent and transparent translational strategy does not necessarily imply that the translator is being submissive. A problem I see in Venuti’s proposal as regards translational strategies is that he still follows a dichotomous approach: *either* domesticating *or* foreignizing. Translational practice shows us that both strategies are usually combined within one single text, and that their use by the translators is not always conscious. As Hatim (1998: 124) puts it, “there is the question of whether the translator’s intervention is consciously undertaken or whether it unconsciously filters through.” In this same line, Tymoczko (2000: 36) criticizes Venuti’s distinctions in these terms: “Venuti has a hard time maintaining consistent distinctions between the polar opposites he works with, a difficulty which is actually no surprise.” As regards the functions proposed by Venuti, Tymoczko adds, “the functions picked out by Venuti’s approaches to translation are not coherent either. In fact, the functions of minoritizing or resistant or foreignizing translations are quite variable, assuming for the moment that we can pick out translations corresponding to these terms” (ibid). Thus, “Venuti’s concept of *resistance* is less dependent on identifiable criteria or specific functions pertaining to translation than on somewhat arbitrary personal judgments -a matter of taste, let us say- on the part of Venuti and others who use his

approaches” (ibid: 37). Concerning the possibility of actually using Venuti’s concepts, Tymoczko points out that “we are faced with a real difficulty [...], for a *sine qua non* of the usefulness in research of a critical tool or of critical terms is replicability and transfer, both of which seem problematic in the case of extending Venuti’s arguments” (ibid). Besides, one can initially think that Venuti’s approach is descriptive, but, as Tymoczko maintains, “ultimately his approach is a normative one, and a highly rigid and autocratic approach to norms at that, making ultimate appeal to his own view of politics rather than the methods or contexts of translation” (ibid: 39). Tymoczko explains Venuti’s normative stance as follows: his view about “foreignizing and resistant translation is highly specific in its cultural application; it pertains to translation in powerful countries in the West in general and in the United States in particular” (ibid). He does not offer a transitive theory that can be used in smaller countries, lower in the “hierarchies of economic and cultural prestige and power. In this sense his approach is not applicable to translation in postcolonial countries” (ibid). Likewise, some elitism has also been pointed out in Venuti’s work by Robinson (1997a: 99), because of Venuti’s almost exclusive concern with literary translations and disregard of lower-class ‘utilitarian texts’ (i.e. pragmatic texts) where an institutional hegemonic domestication intent is evident (ibid: 100).

2.5 Postcolonial Translation Studies, Gender Studies, and Cannibalism

This is one of the most complex translational approaches because of the richness and diversity of issues postcolonial scholars deal with. Some of the key representatives of postcolonial translation studies are Homi Bhabha, Edward Said, Tejaswini Niranjana, Gayatri Chakravorty Spivak, Vicente Rafael, Maria Tymoczko and Eric Cheyfitz. Within translational gender studies, important figures are Luise von Flotow, Susanne de Lotbinière-Harwood and Sherry Simon, and within cannibalism, we should mention Oswald de Andrade, Haroldo de Campos and Else Vieira. What these diverse authors have in common is that most of them have been influenced to a greater or lesser extent by Walter Benjamin and Jacques Derrida, as can be easily seen in some of their crucial translational ideas.

Even though it is not easy to determine the source of postcolonial translation theories, for M. Tymoczko (2000: 27) postcolonial translation studies “take up questions about the interrelation of translation, power, ideology and politics”, following from descriptive translation approaches developed by I. Even-Zohar, G. Toury, A. Lefevere and others (ibid). This, I think, is the trend of postcolonial translation studies which focuses on issues related to literary translation and which has been further developed, for instance, in Susan Bassnett and Harish Trivedi’s (1999) *Post-colonial Translation. Theory and Practice*. Tymoczko also points out that “in part postcolonial theory has been attractive to literary studies as a whole because it is one of the few contemporary theoretical or critical approaches that actually deals overtly and concretely with oppression and cultural coercion, issues that command so much intellectual attention at present” (ibid: 32). Tymoczko sees postcolonialism not as an ontological category, but “as a complex set of circumstances responding to specific historical conditions associated with the European age of discovery, expansion and imperialism” (ibid).

As regards the origins of postcolonial translation studies, i.e. the study of translation in its relation to empire, D. Robinson (1997b: 1) maintains that it was born in the mid 1980s, not as a result of either linguistics or literary studies, but from efforts in anthropology, ethnography and colonial history. One interesting fact to point out here is that “postcolonial scholars continue to identify with other fields first, with translation studies second or third (if at all) –and then only, it seems, because the publication of their books on translation has won them admiring readers in a scholarly community they knew little about” (ibid: 2). What Robinson says is easily corroborated when one reads through the bibliography postcolonial scholars such as Bhabha, Cheyfitz or Niranjana include in their books: besides Benjamin and Derrida there is almost no other translation scholar referred to. For Robinson, translation scholars have traditionally begun with language, and with differences between languages, whereas postcolonial scholars have taken the opposite direction, “starting with culture and cultural difference, they have only gradually come to realize that culture is mediated by language, and that one of the most significant intercultural phenomena they should have been studying all along has been translation” (ibid: 3). In order to see the implications of empire for translation, i.e. the postcolonial stance,

Robinson deems it necessary to “move past traditional conceptions of translation as purely linguistic or textual activity” (ibid: 12) and draws on the concept of translation formulated by several different translation schools: the hermeneutic work of G. Steiner, the polysystem theory or descriptive translation studies developed by I. Even-Zohar, G. Toury and A. Lefevere, and H. Vermeer’s skopos theory and J. Holz-Mänttari’s translation action approach, to the extent that they “push back the boundaries of what is legitimately considered ‘translation studies’” (ibid). Like Tymoczko, Robinson also recognizes that the point of departure in postcolonial translation studies is “the realization that translation has always been an indispensable channel of imperial conquest and occupation” (ibid: 10). Therefore, for Robinson, postcolonial theory “is considered part of the interdisciplinary field of cultural theory and cultural studies, which draws on anthropology, sociology, gender studies, ethnic studies, literary criticism, history, psychoanalysis, political science and philosophy to examine various cultural texts and practices” (ibid: 13). Special emphasis, says Robinson, is placed on “the observation that it brings together *critics* of culture; it is not a mere forum for exploring culture in value-neutral ways but a strategic consolidation of critique” (ibid).

For Robinson, “the precise scope of postcolonial studies remains controversial” (ibid: 13). However, he distinguishes three approaches: 1. Post-independence studies or “the study of Europe’s former colonies since independence,” where “‘postcolonial’ refers to cultures after the *end* of colonialism,” covering a period which corresponds approximately to the second half of the twentieth century (ibid); 2. ‘Post-European colonization’ studies or “the study of Europe’s former colonies since they were colonized”, where “‘postcolonial’ refers to cultures after the *beginning* of colonialism,” covering a period that begins in the sixteenth century (ibid); and 3. ‘Power relations’ studies or “the study of all cultures/societies/countries/nations in terms of their power relations with other cultures/etc.”, where “‘postcolonial’ refers to our late-twentieth-century perspective on political and power relations”, covering a period corresponding to all human history (ibid: 14). As regards translation within a postcolonial perspective, Robinson also envisages three stages, roughly corresponding to the past, the present and the future: “Translation has been used to control and ‘educate’ and generally shape

colonized populations in the past” (ibid: 6) (= translation as a channel of colonization); “translation in the present remains steeped in the political and cultural complexities of postcoloniality” (= translation as a lightning rod for surviving cultural inequalities); and “one of the hopes of postcolonial translation is that translation might open new and productive avenues for the future” (= translation as a channel of decolonization) (ibid). For Robinson, most postcolonial scholars of translation tend to define their approach according to the first and the second definitions, dealing with the impact of translation on specific cultures colonized by Europe –Tagalog society for Vicente Rafael, Native Americans for Eric Cheyfitz, India for Tejaswini Niranjana, Egypt for Richard Jacquemond, and francophone North Africa for Samia Mehrez (ibid: 16).

Within the framework of *The Location of Culture*, Bhabha (1994: 7) stresses that being ‘beyond’ bipolar dichotomies, “the borderline work of culture demands an encounter with ‘newness’ that is not part of the continuum of past and present. It creates a sense of the new as an insurgent act of cultural translation.” And he further expands, “such art does not merely recall the past as social cause or aesthetic precedent; it renews the past, refiguring it as a contingent ‘in-between’ space, that innovates and interrupts the performance of the present” (ibid). Besides, Bhabha conceives of translation as this in-between space, as a place of hybridity:

The language of critique is effective not because it keeps forever separate the terms of the master and the slave, the mercantilist and the Marxist, but to the extent to which it overcomes the given grounds of opposition and opens up a space of translation: a place of hybridity, figuratively speaking, where the construction of a political object that is new, *neither the one nor the other*, properly alienates our political expectations, and changes, as it must, the very form of our recognition of the moment of politics. The challenge lies in conceiving of the time of political action and understanding as opening up a space that can accept and regulate the differential structure of the moment of intervention without rushing to produce a unity of the social antagonism or contradiction. This is a sign that history is *happening* –within the pages of theory, within the systems and structures we construct to figure the passage of the historical. (Bhabha 1994: 25).

Bhabha maintains that “what is required is to demonstrate another territory of translation, another testimony of analytical argument, a different engagement in the politics of and around cultural domination.” (ibid: 32). And this can be achieved

through “deconstruction of the moment of the modern, its legal values, its literary tastes, its philosophical and political categorical imperatives” and by rehistoricizing “the moment of ‘the emergence of the sign’, or ‘the question of the subject’, or ‘the discursive construction of social reality’ to quote a few popular topics of contemporary theory” (ibid). Another key concept proposed by Bhabha is that of ‘cultural difference’ which “focuses on the problem of ambivalence of cultural authority: the attempt to dominate in the *name* of a cultural supremacy which is itself produced only in the moment of differentiation.” (ibid: 34). This cultural difference is based on a discursive strategy of enunciating: “It is the problem of how, in signifying the present, something comes to be repeated, relocated and translated in the name of tradition, in the guise of a pastness that is not necessarily a faithful sign of historical memory but a strategy of representing authority in terms of the artifice of the archaic” (ibid: 35).

Similarly, for Niranjana (1992: 1), “in a post-colonial context the problematic of *translation* becomes a significant site for raising questions of representation, power, and historicity” (emphasis in the original). Thus, Niranjana’s point of departure is the recognition that “translation as a practice shapes, and takes shape within, the asymmetrical relations of power that operate under colonialism” (ibid: 2). Some strategies of containment are produced by translation and “by employing certain modes of representing the other -which it thereby also brings into being- translation reinforces hegemonic versions of the colonized, helping them acquire the status of what Edward Said calls representations or objects without history” (ibid: 3). Niranjana proposes to approach “an understanding of the ‘post-colonial’ through a variety of nodes: the intersection of the present with a history of domination, the formation of colonial ‘subjects’, the workings of hegemony in civil society [in Gramsci’s sense], and the task, already under way, of affirmative deconstruction” (ibid: 6). In addition, Niranjana takes up Derrida’s critique of representation which “allows us to question the notion of re-presentation and therefore the very notion of an origin or an original that needs to be represented” (ibid: 9). Assessing the most important contribution of Derrida to the postcolonial approach, Niranjana (1994: 36) maintains that “one of the most profound insights Derrida’s work has afforded to postcolonials is the notion that *origin* is always already heterogeneous, that it is not

some pure, unified source of meaning or history.” Therefore, “it seems more urgent than ever to be aware of the instability of the ‘original’, which can be meticulously uncovered through the practice of translation”¹⁰¹ (ibid: 50). A critique is also made of the notion of the colonial subject which is formed through a process of ‘otherness’ that “involves a teleological notion of history, which views the knowledge and ways of life in the colony as distorted and immature versions of what can be found in ‘normal’ or Western society” (Niranjana 1992:11). Niranjana analyzes a case of translation as interpellation, in Althusser’s sense, i.e. in the ‘constitution’ of subjects in language by ideology. It has to do with the way William Jones in 1783 explained before the Supreme Court in Calcutta that translation would serve “to domesticate the Orient and thereby turn it into a province of European learning” (ibid: 12). Jones’ work was inspired by “(a) the need for translation by the European, since the natives are unreliable interpreters of their own laws and culture; (b) the desire to be a lawgiver, to give the Indians their ‘own’ laws; and (c) the desire to ‘purify’ Indian culture and speak on its behalf” (ibid: 13).

Furthermore, Niranjana (1992: 59) criticizes George Steiner’s claim that “the translation situation is one of ‘dialogue’, of achieving ‘a balance between I and thou’”. When Steiner suggests that “the faithful translator ‘creates a condition of significant exchange. The arrows of meaning, of cultural, psychological benefaction, move both ways. There is, ideally, exchange without loss” (ibid). Niranjana considers these remarks futile in the colonial context, “where the ‘exchange’ is far from being equal and the ‘benefaction’ highly dubious, where the asymmetry between languages is perpetuated by imperial rule” (ibid). In this same line, Niranjana also criticizes Toury’s empirical approach to translation studies because it does not account for “the intertextuality of translations, the canonical nature of certain translations and their participation in colonial practices of subjectification, the largely unilinear borrowing from European languages in the colonial period” (ibid: 60). Thus, “the ‘empirical science’ of translation comes into being through the repression of the asymmetrical relations of power that inform the relations between languages” (ibid). As regards the

¹⁰¹ Spivak (1994: 285) sees part of Derrida’s contribution to postcolonial approaches in a continuous delving into truths: “Deconstruction does not say there is no subject, there is no truth, and there is no history. It simply questions the privileging of identity so that someone is believed to have the truth. It is not the exposure of error. It is constantly and persistently looking into how truths are produced.”

role of the translator within a postcolonial context, Niranjana maintains that “the postcolonial translator must be wary of essentialist anti-colonial narratives; in fact, s/he must attempt to deconstruct them, to show their complicity with the master of imperialism” (ibid: 167). Thus, “the post-colonial desire to *re-translate* is linked to the desire to *re-write history*. Re-writing is based on an act of reading, for translation in the post-colonial context involves what Benjamin would call ‘citation’ and not ‘absolute forgetting’.” (ibid: 172).

In his 1991/1997 *Poetics of Imperialism: Translation and Colonization from The Tempest to Tarzan*, Eric Cheyfitz attempts to discuss “the central function of translation in the history of Anglo-American imperial foreign policy” (ibid: I). He deals with foreign policy, for it “implies a domestic policy, just as the very term *translation* is defined by the relationship between a notion of the *foreign* and a notion of the *domestic*” (ibid). Cheyfitz explores “how foreign and domestic policies are translations of one another. Within its history, Anglo-American imperialism has alienated the world outside the West in the form of the other, so that it could dream the other’s redemption in the form of the self” (ibid: xiv). In his book, Cheyfitz attempts to articulate “the historical relationship in the New World between translation, *translatio*, and the *translatio imperii et studii*, between, that is, a theory of communication, a theory of figurative language, and a theory of the transmission of power” (ibid: xxvi). For instance, when translating into Algonquian languages, the colonists did not realize the impossibility of translating “the English notion of ‘selling land’ into these languages, which did not contain the concept of land as *property*, that is, an alienable commodity” (ibid: 8). Thus, the concept of ‘property’ is forced into these languages solely for the purpose of ‘legally’ and ‘legitimately’ expropriating the indigenous tribes from their land, which they clearly did not conceive of as a possession:

The European process of translation I am describing displaced or attempted to displace (for there was and still is enduring resistance) Native Americans into the realm of the proper, into that place where the relation between *property* and *identity* is inviolable, not so these Americans could possess the proper but that having been translated into it they could be dispossessed of it (of what, that is, they never possessed) and relegated to the territory of the figurative (Cheyfitz 1991/1997: 59).

Within this context appears Tarzan, who “is a translator. Raised speaking the language of the apes, Tarzan teaches himself to read and write in English by correlating pictures (fantasized implicitly in this fiction as a universal or ur-language) and words in the books that his father transported from England to Africa” (ibid: 15). And as Tarzan cannot fully converse with the apes because of their ‘impoverished tongue’, “[...] Tarzan can only dominate them” (ibid: 16). Thus, Cheyfitz summarizes the role of translation in the Anglo-American postcolonial context as follows:

Indeed, the evolutionary, or ‘natural’, process of translation exists as repression and projection of the textual process of translation in a way that I have associated with the dynamics of reduction, homogenization, and displacement characteristic of U.S. foreign policy (Cheyfitz 1991/1997: 18).

On the other hand, postcolonial literary translation studies as understood by Bassnett and Trivedi (1999) start from the premise that translation does not happen in a vacuum but in a continuum as part of “an ongoing process of cultural transfer. [...] Translation is not an innocent transparent activity but is highly charged with significance at every stage; it rarely, if ever, involves a relationship of equality between texts, authors or systems” (ibid: 2). This inequality is reflected, among other things, in the fact that for centuries translation has been a one-way process, “with texts being translated *into* European languages for European consumption, rather than as part of a reciprocal process of exchange. European norms have dominated literary production, and those norms have ensured that only certain kinds of texts, those that will not prove alien to the receiving culture, come to be translated” (ibid: 5). They see post-colonial translation almost as a tautology: “In our age of (the valorization of) migrancy, exile and diaspora, the word translation seems to have come full circle and reverted from its figurative literary meaning of an interlingual transaction to its etymological physical meaning of locational disrapture; translation itself seems to have been translated back to its origins” (ibid: 13). Besides, Tymoczko (1999: 25) sees a foreignizing translation strategy as fully justified: “the inclusion of rare or untranslated words in translations and the inclusion of unfamiliar cultural material are not necessarily defects in translated texts”, because “translation is one of the activities

of a culture in which cultural expansion occurs and in which linguistic options are expanded through the importation of loan transfers, calques, and the like.” This foreignizing translation strategy occurs because “in translations the greater the prestige of the source culture and the source text, the easier it is to require that the audience come to the text” (ibid: 30). In the same line, Prasad (1999: 46) also observes in literary translation into Indian English that “there is a greater acceptance of code-switching and code-mixing and all that this has achieved is a greater legitimacy for Indianisms in English.” A similar case has also been reported by Sherry Simon (1999), this time in Quebec literature: “The most celebrated episode of literary transgression was the integration of ‘joual’ (or Montreal urban dialect, heavily laced with English and ‘incorrect’ French expressions) into the literature of the 1960s and 1970s.” (ibid: 60). Simon also points out that “translation can never be a neutral act of repetition: mediation involves transmission but also displacement” (ibid: 66).

For Luise von Flotow (1997), both gender studies and translation studies are interdisciplinary fields which have several common issues: “cultural gender differences, the revelation and formulation of these differences in language, their transfer by means of translation into other cultural spaces where different gender conditions obtain.” (ibid: 1). Although translation studies does not play a major role in the USA, gender studies has had a different development which began with the ‘era of feminism’ in the late 1960s (ibid). Gender awareness has helped to review the normally ‘invisible’ role played by translators. Consequently, female translators who translate feminist writers have started asserting their feminine identity and the subjective aspects of their work (ibid: 3). Gender studies begin from the acknowledgement that “*gender* refers to the socio-cultural construction of *both* sexes” (ibid: 5). Within this perspective, it is also clear that women have been excluded from large parts of public and academic life and this has been achieved because language is not only used as a tool for communication but also as a manipulative tool. An idea developed by authors such as Helène Cixous, Claudine Herrmann, Marina Yaguello, Anni Leclerc in France, Mary Daly, Kate Millett, Adrienne Rich in the United States, and Nicole Brossard, Louky Bersianik, France Théoret in Canada (ibid: 8). A manipulative strategy is easily seen, for instance, in the way some dictionaries assign

specific qualities to men and not to women: in the *Petit Robert*, *virile* is defined as ‘propre à l’homme’ (‘pertaining to man’) with qualities such as ‘actif, énergique, courageux’ (‘active, energetic, courageous’), as if women could not possess those qualities (ibid: 10). The experimental feminist writing of the 1970s has helped women to voice their stance as regards conventional male/patriarchal language. As Mary Daly, an American theologian and radical feminist writer, quoted by Flotow, expresses it in the preface of her book *Gyn/Ecology: A Metaethics of Radical Feminism*:

This book contains Big Words [...] for it is written for big, strong women, out of respect for strength. Moreover, I’ve made some of them up. Therefore, it may be a stumbling block both to those who choose downward mobility of the mind and therefore hate Big Words, and to those who choose upward mobility and therefore hate New/Old Words, that is Old words that become New when their ancient (‘obsolete’) gynocentric meanings are unearthed. Hopefully, it will be a useful pathfinder for the *multiply mobile*: the movers, the weavers, the Spinners. (Daly 1978: xiv) (Flotow 1997: 16).

Within this feminist approach, Flotow sees the role of the translator in “reclaiming some of this derogatory vocabulary and developing new terms” (ibid: 19). This strategy has helped to foreground the issue of gender in translation and translators have resorted to several technical and theoretical resources to face these challenges: “they [the translators] have had to go beyond translation to supplement their work, making up for the differences between various patriarchal languages by employing wordplay, grammatical dislocations and syntactic subversion in other places in their texts” (ibid: 24). A clear example of the use of this feminizing translation strategy is provided by De Lotbinière-Harwood who translated *Lettres d’une autre* by Lise Gauvin, and who writes in the preface to her translation:

Dear reader,

Just a few words to let you know that this translation is a rewriting in the feminine of what I originally read in French. I don’t mean content. Lise Gauvin is a feminist, and so am I. But I am not her. She wrote in the generic masculine. My translation practice is a political activity aimed at making language speak for women. So my signature in a translation means: this translation has used every possible feminist translation strategy to make the feminine visible in language. Because making the feminine

visible in language means making women seen and heard in the real world. Which is what feminism is all about. (de Lotbinière-Harwood 1989: 9) (Flotow 1997: 29).

Another issue discussed by representatives of gender-oriented approaches to translation has to do with the translation of the Bible, in which case some rewriting as an equalizing manoeuvre has been carried out. An evident example of the use of this translation strategy can be seen in the comparison of a verse from the Revised Standard Version of John 6: 35-37 and its translation by Joann Haugerud in her 1977 *The Word for Us*:

Revised Standard Version:

Jesus said to them, 'I am the bread of life; *he* who comes to me shall not hunger, and *he* who believes in me shall never thirst...; and *him* who comes to me I will not cast out. (Flotow's italics).

Joann Haugerud's translation:

Jesus said to them, 'I am the bread of life; *anyone* who comes to me shall not hunger, and *anyone* who believes in me shall never thirst...; and *those* who come to me I shall not throw out (1977:14; Flotow's italics, *ibid*:54).

For Flotow, Barbara Godard (1991) has proposed a more 'aggressive-oriented' theory in Canada. Flotow sees two major points in her theory. First, the claim is made that "no text is neutral or universal, nor 'original' for that matter" (*ibid*: 43): a poststructuralist textual theory, where we can easily see Derrida's contention about the doubtful existence of 'originals'. An issue clearly shared by both gender studies and postcolonial studies. The second point is related to the validity of the notion of equivalence. For Godard, "to produce 'equivalent' texts is to reduce both the source and the target texts to some acceptable, mainstream level, thus producing 'in-different' texts" (*ibid*: 44). We can also perceive here a clear influence of Derrida's idea of translation as difference.

In a somewhat different stance, which does recognize the existence of the original and the need to approach it with all its intricacies, Spivak (2000: 400)

emphasizes the intimate act of reading by the translator: “Unless the translator has earned the right to become an intimate reader, she cannot surrender to the text, cannot respond to the special call of the text.” And with respect to the fact that many Third World female literary works are being translated at present, she cautiously warns against any patronizing attitude: “The person who is translating must have a tough sense of the specific terrain of the original, so that she can fight the racist assumption that all Third World women’s writing is good” (ibid: 4005). By ‘good’ writing, Spivak means ‘resistant’ writing (ibid: 404).

The only Latin American -specifically Brazilian- translational approach is ‘cannibalism’, a notion that derives directly from Oswald de Andrade’s *Manifesto Antropófago*, originally written in the 1920s, and later on taken up by Haroldo de Campos in the 1960s. Vieira (1999) describes the key aspects of this translational approach as follows:

Cannibalism is a metaphor actually drawn from the natives’ ritual whereby feeding from someone or drinking someone’s blood, as they did to their totemic ‘tapir’, was a means of absorbing the other’s strength, a pointer to the very project of the Anthropophagy group: not to deny foreign influences or nourishment, but to absorb and transform them by the addition of autochthonous input. (Vieira 1999:98).

According to Vieira, Haroldo de Campos maintains that the translation of literary (creative) texts is also a recreation or a parallel creation. Thus, it is not a literal translation and is always reciprocal. It is an operation, “in which it is not only the meaning that is translated but the sign itself in all its corporeality (sound properties, visual imagerics, all that makes up the iconicity of the aesthetic sign) (1992: 35).” (Vieira 1999: 105). In the translation of the Hebrew Bible, “Haroldo de Campos “*aportuguesa* the Hebrew language and *hebraiza* the Portuguese language” (ibid). Within cannibalism, the translator is seen as an autonomous re-creator, a fact that “problematizes the question of authorship in translation” (ibid: 106). Therefore, the translator is openly visible in his recreation, for instance, when de Campos translated Goethe’s *Faust* with the title *Deus e o Diabo no Fausto de Goethe* (‘God and the Devil in Goethe’s Faust’). Vieira also traces some influence of Benjamin’s and Derrida’s insights in de Campos’ cannibalistic approach.

2.5.1 Criticism on Postcolonial Translation Studies, Gender Studies, and Cannibalism

Robinson (1997b: 78) maintains that postcolonial studies implies such an enormous and complicated process in studying “the social and political histories of cultures and civilizations spanning vast tracts of time and space, that there is very little one can say about it that is not simply a gross generalization.” In contrast, as regards the linguistic approach to translation focusing on the discussion of the notion of equivalence, he claims that “studying translation in terms of linguistic equivalence may not have the political cachet of postcolonial approaches, but at least it is manageable” (ibid). For Robinson, there is not much criticism on postcolonial translation theory simply because “just as postcolonial translation theorists don’t seem to read much mainstream translation theory, so too have they gone largely unread by their mainstream counterparts” (ibid: 104). One point Robinson reflects on is the interpretation of the roles translation has played in colonization and decolonization. In this respect, whereas in Cheyfitz’ approach (Anglo-American colonization), translation seems to be a harmful and pernicious tool of empire, in which “the Indians become the helpless and innocent victims of evil outside aggression” (ibid: 106), for Rafael, who “celebrates heterogeneity and hybridity” in the Spanish-Tagalog encounter, it plays a positive and constructive decolonizing role (ibid: 105). Robinson explains these opposite views by resorting to the notion of nativism: “the greater the nativism, which is to say, the more the theorist idealizes the precolonial state of the ‘natives’ and attacks empire as pure evil, the more clearly and exclusively translation seems to be demonized as something colonizers do *to* natives, a form of colonial violence” (ibid). The second issue Robinson discusses is whether the only effective decolonizing translation strategy is “a neoliteralism or foreignism [...], as Niranjana and Venuti insist, or whether a whole shifting variety of playful popular modes of ‘mistranslation’ might not be more effective.” (ibid: 108). For Robinson, these attitudes seem to depend on the postcolonial theorist’s cultural elitism:

The greater the elitism, which is to say, the more drawn the theorist is to standards of taste maintained by cultural elites involving difficulty (relative inaccessibility to the masses) and overt intellectual critique (especially poststructuralism), the more clearly and exclusively translation tends to be dualized as either (a) communicative, accessible, assimilative, domesticating, and therefore part of the problem, or (b) noncommunicative, inaccessible, nonassimilative, foreignizing, and therefore part of the solution. (Robinson 1999: 109).

Foreignizing, says Robinson, is seen by some scholars, especially Venuti and Niranjana, as the remedy to the hegemonic strategy of translating in an assimilative, domesticating way. To this, Robinson contends that (a) “It is not clear that foreignizing and domesticating translations are all that different in their impact on a target culture” (ibid: 109). Translations are based on interpretations which vary from translator to translator; foreignizing does not increment diversity in this situation. (b) “The impact of assimilative and foreignizing translations on target-language readers is neither monolithic nor as predictably harmful or salutary (respectively) as foreignists claim.” (ibid: 110). The assumption that domesticating translations colonize the reader, while foreignizing translations decolonize the reader has no foundation in the complexities of human communication. It’s something which cannot be easily predicted. Besides, from a linguistic perspective, postcolonial scholars display a rather naive view of language when they assume that some words are inherently ‘familiar’, ‘ordinary’ or ‘fluent’. They are not aware of the different pragmatic nuances a speaker may express by uttering the same word with a different tone (sarcastic, angry, fearful, etc.) (ibid: 111). (c) “In their deep mistrust of the popular and the populist, in their suspicion that any cultural expression that appeals to the large audience must necessarily be reductive, assimilative, and must therefore have a colonizing rather than decolonizing effect, foreignist theories of translation are inherently elitist” (112). Robinson wonders if Benjamin’s attempt to ‘hold back from communicating’, taken up by Niranjana, will actually help to decolonize India by not communicating to the large audience. (d) “Like its theoretical predecessor ‘sense-for-sense’ vs. ‘word-for-word’ translation, the ‘assimilative’/‘foreignizing’ distinction presumes a stable separation of source and target languages” (ibid: 112). Robinson questions this strong dichotomy and recalls Mehrez’ discussion of ‘hybrid’ or

‘métissés’ languages in francophone North Africa, where no clear boundaries can be established between source and target languages.

Within the framework of gender studies, Flotow (1997) perceives that criticism to this approach comes from two sources: from outside feminisms, and from within feminisms. There is an outside allegedly objective-oriented approach which maintains that “gender issues are too emotional, too ideological, in fact, too subjective for real scholarship” (ibid: 77). As regards ‘gender neutrality’ in Bible translation, Nida (1995) has raised more serious concerns. According to Flotow, Nida claims that “biological sexual difference [makes] gender a given that must be recognized and expressed in language, and that cannot be linguistically transgressed” (ibid: 78). For Flotow, Nida says that the ‘inclusive’ language used in Bible translations is “no really valid solution to the issue of gender neutrality” and he further claims that “only radical change *within* the group (here, the Christian church) will lead to changes in the inequitable roles assigned to women and men in church” (ibid). Flotow doubts that “feminist work actually seeks to establish gender neutrality. This seems to be more of an argumentative move ‘from outside feminism’ than a feminist goal” (ibid). Flotow mentions another criticism raised against gender-conscious translation: the several metatexts accompanying translations of experimental work and many anthologies of women’s writing (ibid). She defends the use of metatexts, for “metatexts may well serve a translation, providing the foreign material with a way into the translating culture and making it accessible to the reader” (ibid: 79). A case in point which Flotow discusses is the two-volume anthology *Women Writing in India* (Tharu and Lalita 1991/1993) published by The Feminist Press of the City University of New York. In this case, metatexts are useful for contextualizing “material that is foreign to the many anglophone readers who, as Gayatri Spivak (1992:189) has suggested, are culturally blinkered to the wholesale disregard of anything that does not stem from Graeco-Roman antiquity” (ibid: 79).

Criticism from within feminisms has been formulated against experimental feminist writing which is seen as elitist due to its avant-garde character with no immediately evident socio-political effect (Flotow 1997: 80). This avant-garde experimental writing “caused the devaluation or exclusion of other types of writing

by women” (ibid). Flotow quotes Felski’s contention as regards writing in the feminine:

It is impossible to make a convincing case for the claim that there is anything inherently feminine or feminist in experimental writing as such; if one examines *l’écriture féminine*, for example, the only gender-specific elements exist on the level of content, as in metaphors of the female body. (1989: 5) (Flotow 1997: 80).

According to Flotow, Arrojo (1994, 1995) criticizes feminist translation as opportunistic because it claims “to be faithful to the tenor of a text, as Suzanne Levine does, and yet [it] admit[s] to deliberately intervening in the translation for feminist reasons” (ibid: 82). For Flotow, a second point Arrojo makes is to criticize the ‘double standard’, “the tendency to describe as violent and aggressive the theories produced by George Steiner or the comments made by John Florio, while refusing to see that feminist intervention in texts is no less aggressive” (ibid: 82). Besides, Flotow says, Arrojo maintains that feminine discourses are theoretically incoherent, for when they use notions such as ‘subversive fidelity’, a contradiction is implied if it is recalled that for Derrida “no meaning can ever be ‘reproduced’ or ‘recovered’ but is always created, or recreated, anew” (Arrojo 1994: 158). Thus it is not theoretically coherent for feminists to claim to “recreate meaning anew”. Flotow sees this as an orthodox Derridean view that “cancels out women’s optimistic assumption that they can act upon a text, independently. For Arrojo, the forceful, interventionist, creative approaches that have come to define feminist work in translation are a mere mirage; there can be no agency” (ibid: 83). Flotow also points out that the use of deconstruction or selected theories or bits of them by feminists might be seen as incoherent but also as strategic (ibid).

For Flotow, Gayatri Spivak has made “the most scathing critique of certain types of feminist work in translation” (ibid: 83). Spivak, Flotow says, maintains that the “ravenous hunger for third world literature (by women) in English translation” (Spivak 1988: 253), “does more to serve Anglo-American purposes and careers than it does to propagate understanding of the situations in which many third world women live, and only few write” (Flotow 1997: 84). Furthermore, for Flotow, Spivak criticizes the fact that “translations are done to comply with the publisher’s

convenience, with classroom convenience (accessibility/readability), and with the ‘time convenience for people who do not have the time to learn’ (1992: 185)” (Flotow 1997: 84). Within this framework, “the source texts are selected by relatively uninformed academics that cannot or do not distinguish between resistant and conformist work, often labouring under the false assumption that anything by women writers will do” (ibid: 84). Flotow maintains that all women have been bound by the unifying notion of *gender*, but at the same time it has been recognized that there is a great cultural and political diversity that distinguishes women from each other (ibid: 86). The role of translation in this context is assessed by Flotow as follows:

Translation gives access to other women’s lives as well as to the linguistic processes they adopt to influence power structures in their particular contexts. It may therefore trigger new ways of living, thinking and taking influence in the target contexts (ibid: 87).

To sum up, I would say that, despite not being part of the mainstream translation works, as Robinson says, postcolonial scholars in general have made us all more aware of the intricacies and complexities of the relationship between translation and acting instances of power throughout history and at present. It is essential to acknowledge that translation has always played an important and crucial role in colonizing and/or decolonizing processes. As is clearly seen in Cheyfitz’ book, the denotation of the term ‘translation’ is expanded to be used in a rather metaphorical sense, according to which colonizers ‘translate’, i.e. make their own, the colonized in an aggressive move of demarcating ‘property’, only to legitimately expropriate it. An issue that remains controversial within this framework is whether the most effective decolonizing strategy at present is neoliteralism or foreignizing. It has been demonstrated convincingly by Robinson that both domesticating and colonizing can be used for this purpose. In other words, due to the historical and political complexity of the target communities it is not easy to predict what the result of either strategy will be. Likewise, as I pointed out in the section devoted to the critique of Deconstruction and Poststructuralist Approaches (cf .1.1.3.4.1), domesticating and foreignizing are not clear-cut categories which correspond to translation strategies completely separated from each other: within one single text both strategies can be

-and actually are- implemented to a greater or lesser extent by translators as they see fit. The use of either strategy cannot be considered as the only and exclusive prerogative of the translator, for, and this is one of the greatest limitations of this approach, it would imply that the translator is the sole and independent agent of the translation process, thereby moving into the background the initiator of the process and both the source and the target language readerships, which should also be taken into account. In this respect, cannibalism provides a wider scope of action since it does not content itself with minor interventions on the original but strives to create a third text by a rewriting translation strategy whose product is neither the source text nor the traditional target text. However, the question is open as to how far this 'transformed' text can still be recognized as a translation, for the translator is invested with ample and apparently unlimited freedom to recreate the original.

It is also important to point out that most postcolonial analyses have been carried out by using literary texts. To make evident the oppression of the powerful colonizing instances over the colonized by manipulating the translated texts (foreignizing rather than domesticating them) can be a useful strategy, but, as we saw above, its results are not easy to predict. I wonder if this manipulative strategy can be simply extrapolated to the case of the translation of non-literary, pragmatic texts. For instance, in the case of in-house translations for multinational companies or corporations, how is one to determine power differentials within the organization and the most appropriate equalizing translation strategies? Are translators actually invested with the power to carry out such an equalizing operation? Therefore, from the theoretical viewpoint, it seems that the postcolonial approach is not or cannot be considered a general translation theory. It is a partial theory which, due to its top-down culture-bound approach, simply discards discursive and textual linguistic approaches which can help to discuss, in a more coherent and all-embracing way, the different manipulative translation strategies applied in the transition between SLT and TLT.

On the other hand, gender studies are clearly related to translation studies and deserve to be openly recognized as a legitimate, full-fledged field of scholarship. I see an obvious link between gender studies and postcolonial studies in so far as both deal with social and political power and domination, but the former focuses on a specific

group of social actors who have been and still are subjected to domination: women. Women's situation is even worsened by the fact that their voices have been silenced in both colonizing and colonized societies as patriarchal social, political and linguistic structures have traditionally prevailed. An equalizing manoeuvre can be seen not only in the avant-garde experimental women's writing, but also in translations by women of other women's works. However, there is still controversy as to what is the best or most effective translation strategy for this gender-conscious move. Again, as in the previous case, a linguistic approach can help to better visualize how 'subversive fidelity' could or might actually take place.

Postcolonial translation studies, gender studies and cannibalism have a common interest in revising the traditional concept of fidelity and equivalence in translation. As a result, and without discarding the notion of 'equivalence', I think that it can be enriched and better contextualized with the inclusion of top-down concepts such as social, political, and power-related issue in general, as I will discuss in the corresponding section of this work.

3 Towards an Integrated Approach

As we saw in the previous chapter, where several linguistic and culturally-oriented translation approaches were described and discussed, each translation approach emphasizes one aspect of translating, but it cannot by itself account for the whole subject matter of the discipline. Linguistic translation approaches have traditionally focused on the product of translating, i.e. the translated text, and the way equivalences between SLT and TLT have been established, whereas culture-and-literature-oriented approaches have tended to underline the importance of contextual factors related to socio-cultural aspects of the source and target languages which determine the production and reception of translations, as well as the role played by the translator in this process¹⁰².

In order to better present the holistic, integrated framework or approach I propose, it is relevant to go back first to the discussion I introduced in chapter 1 on Holmes' differentiation of the discipline (cf. 1.1.1.4); then a brief analysis is made of several positions for and against an integrated approach, one of the earlier and better-known attempts to design an integrated approach in translation studies -Snell-Hornby's (1988)- is discussed, and finally, in order to proceed to our proposal, I deem it necessary to examine some of the most remarkable aspects distinguishing literary texts from the so-called pragmatic or specialized texts, and the way some of the main tenets of literary translation have been defended and attacked.

3.1 Holmes' Proposal as a Point of Departure for Integration

As discussed above (cf. 1.1.1.4), Holmes (1988d) differentiated two main branches in translation studies: pure and applied. Within pure studies he distinguished theoretical (general and partial) and descriptive translation studies (product-, process-, function-

¹⁰² In Bolaños (2004, 2005), I formulated some initial ideas about the problem of proposing an integrated approach in translation studies.

oriented), and in applied studies a distinction was made between translator training, translation aids, and translation criticism. Holmes also stated clearly that all branches were related to one another and they would benefit from their mutual interaction. I believe that Holmes' claims with regard to the disciplinary constitution of translation studies in general are still valid. In the first chapter, I discussed the scope and importance of each branch of descriptive translation studies. The general framework I propose allows for this mutual feedback between product-oriented studies (basically all linguistics-oriented approaches), function-oriented approaches (many of the culture/literature-oriented approaches, especially polysystem theory, the manipulation group, skopos theory, translational action, and postcolonial translation studies), and process-oriented approaches (philosophically- and to some degree cognitively-oriented: hermeneutic, deconstructionist, and poststructuralist approaches).

I also think that an integrated framework in the form of a translation model was not provided either by Holmes or by Toury (1995), and the immediate consequence of this is that it is not easy to see the actual and potential interaction of the different aspects of translating as a communicative process and its product, i.e. the translated text. What I intend to do in this work is precisely to correlate the diverse descriptive translation orientations with a model representation of the translation process, both in its textual and contextual dimension, by developing a dynamic translation model (DTM) that presents a reality-close and dynamic perspective of translating which goes beyond Holmes' initial static and reality-distanced proposal. In the next chapter I will elaborate on the importance and relevance of such a model, and the form it might take.

In addition, I do not see such a clear separation between theoretical and descriptive translation studies. Though it is true that a theoretical development may take place independently from translation reality, at some point, sooner or later, I think that any theoretical tenet has to be confronted with reality. And in order to do so, an empirical data-based approach is called for: the translated text has to be examined from a product-oriented perspective, translating as a communicative and as a cognitive instance has to be discussed within process-oriented approaches, and the relevance and impact of originals and translated texts in both source and target socio-cultural communities has to be accounted for based on the information collected in

function-oriented studies. In this continuous dialectical move from theory to reality and from reality to theory, the theory gains in soundness, and in descriptive and eventually explanatory power. Translation studies is better equipped now not to repeat epistemological and methodological mistakes which have clearly deterred advances in other related disciplines such as linguistics, when statements were made implying that one single approach could account for the whole subject matter of this scientific field. A case in point is, for instance, generative transformational grammar as proposed by Chomsky (especially 1957, 1967), which focused almost exclusively on a theoretical framework about the linguistic competence (grammar rules) any ideal native speaker of a language possessed without taking into account the actual use of those rules. Chomsky's highly formalized, math-like representation of this linguistic knowledge finds an analogue in the ideas of some representatives of the Leipzig School (cf. 1.1.2.2; Jäger 1968), who, as discussed above, could not integrate into their mathematically-oriented translational communicative approach the extralinguistic factors affecting translating. Formalization may be a deceptive device that is not necessarily to be equated with advances in the human sciences.

As regards the relationship between pure (theoretical and descriptive) translation studies, on the one hand, and applied translation studies (translator training, translation aids, and translation criticism) on the other hand, it is also clear that some link can be established between these two perspectives on translation studies. Early in the 80s there was an intensive reflection on this theory-practice relationship (cf. Kapp 1984). As far as translator training is concerned, Robinson (1997) discussed the cognitive processes translation students go through and proposed to distinguish between intuitive and conscious cognitive processes or, in H. Hönig's (1986/1994) terms, 'reflex' and 'reflection', respectively. In translator training, I think translation should be envisaged as a problem-solving activity. Intuitive cognitive processes as such cannot be 'taught' in traditional terms; but conscious processes concerning the identification, description, solution, and evaluation of translation problems can be fostered and guided, taking into account the complex textual and contextual nature of translation (cf. Bolaños 2003). In this respect, I agree with Neubert and Shreve (1992), Kiraly (1995) and Kussmaul (1995), who advocate a strategy attempting to link a certain theoretical framework and its

relevance for translator training. Of course, it is clear that not each and every aspect discussed in a theoretical framework will have an immediate application in the teaching and learning activity. Some sort of ‘adaptation’ stage is required. But, unlike Hurtado (2001), I do believe that students should be exposed to some of the theoretical reflections in translation studies, not in the dogmatic and teacher-centered approach very aptly criticized by House (1980), but in order for them to be able to observe their own translation process and gradual improvement as they learn to describe and discuss their own problem-solving strategies. It would be quite definitely a descriptive, not a prescriptive approach (cf. Koller 1992). As regards translation criticism, as Reiss (1971/2001) and House (1977/1997) pointed out, a sound theoretical framework which contributes to support a scientific approach to translation criticism and overcome the traditionally subjective, intuitive, anecdotal approach, is indispensable.

3.2 Voices For and Against Integration

A few authors have expressed strong reservations about the possibility of integrating linguistically-oriented and culture-and-literature-oriented approaches to translation. One of the views against integration has been voiced by Venuti (1998), as I mentioned above in the critique of linguistic-empirically-oriented approaches (cf. 1.1.2.1). He maintains that “Translation research and translator training have been impeded by the prevalence of linguistics-oriented approaches that offer a truncated view of the empirical data they collect.” However, Venuti provides no evidence for his statement and leaves no room for any kind of integration. Within his framework most translation research should be culturally-oriented.

On the other hand, Kaindl (1997: 241) has pointed out that there are basically two types of interdisciplinary approach: imperialistic and instrumental. He considers that in the history of translation an imperialistic interdisciplinary approach can be traced to the time when linguistics was “the constitutive element of translatology”¹⁰³. Thus, he advocates the implementation of an instrumental interdisciplinary approach

where, according to Wallner (1993: 17), “one or more sciences are used to ensure a better understanding or greater success for another discipline.”¹⁰⁴ Unlike Venuti, Kaindl does not rule out the possibility of developing an integrated approach, even though he does not show convincingly how these disciplines are to interact.

A rather more recurring tendency can be observed in the two approaches, linguistics- and literature/culture-oriented. Each of these two approaches acknowledges the existence of the other, but there is no attempt on either part to deal with the text types (pragmatic or literary) proper to the other approach. Within the framework of literary translation, for instance, Kloepfer (1967), following Schleiermacher, understands that interpreting (*Dolmetschen*) belongs to praxis and translating (*Übersetzen*) to art. He acknowledges that there are different types of translation, but he focuses his interest “exclusively on the literary translation”¹⁰⁵. The Leipzig School (cf. 1.1.1.2), on the other hand, concentrated its research interest just as exclusively on pragmatic or scientific texts.

However, more often than not, authors have stressed the importance of dealing with both approaches in a combined or integrated way. In the theory of literary translation:

Much can be gained if we abandon the traditional assumption that literature exists by opposition to other uses of language and if we adopt instead an approach which looks at literature in terms of what it has in common with other varieties of discourse. Ultimately, I believe such an approach can enable the literary critic to make fuller and more legitimate use of linguistics than has been possible in the past and can provide him with a linguistic description of literature much richer in explanatory power than those presently available to him. (Pratt 1977: vii).

The “complex reality” also demands that literature-oriented translation research, which so far still leads mostly an independent life, be integrated completely into translation studies; an *independent*

¹⁰³ „In der Geschichte der Translationswissenschaft kann damit grosso modo jene Phase bezeichnet werden, in der die Linguistik als das konstitutive Element einer Übersetzungswissenschaft betrachtet wurde“. (Kaindl 1997: 241).

¹⁰⁴ „Instrumentale Interdisziplinarität: Das typische Merkmal dieser Art ist es ‚dass eine oder mehrere Wissenschaften benutzt werden, um einer anderen Wissenschaft ein besseres Verständnis oder einen besseren Erfolg zu gewährleisten‘ (Wallner 1993: 17)“. (Kaindl 1997: 241).

¹⁰⁵ „Legen wir uns daher nur darauf fest, daß es verschiedene Übersetzungsarten gibt, unter denen sich unser Interesse ausschließlich auf die literarische Übersetzung richtet“. (Kloepfer 1967: 11).

“science of literary translation” does not exist, as F. Nies (1988: 50) has rightly pointed out. (Reiß 1989: 98)¹⁰⁶.

Some are under the erroneous impression that literary translation comprises only the genres of poetry, drama, and fiction. But the same ideals that drive translators of these genres can also inspire translators whose *métier* is non-fiction. And let there be no mistake: non-fiction is part of literature and translation of non-fiction can properly be considered literary translation. (Landers 2001: 103)

In linguistically-oriented translation theory:

To draw the conclusion from these findings that a linguistic approach to literary translation is not called for would be clearly wrong [...]; however, the –unavoidable– linguistic analysis (precisely also as a point of departure for a scientific criticism of translation) should be aware of its limits (but obviously also of its possibilities which, in the end, do not result from the differentiation of the notion of equivalence), and this means that it should deal with the extremely complex conditions surrounding the translation of literary texts. (Koller 1992: 300)¹⁰⁷.

In a text-based linguistically-oriented translation theory:

By fully developing each of these partial perspectives a holistic view might be constructed, but only if a common method-critical system is maintained. The notion of an integrated theory does not preclude special theories of scientific, literary and poetic translation. This notion of diversity in integration is a central issue of Snell-Hornby’s 1988 volume. (A. Neubert and G. Shreve 1992: 33).

Since basically all texts as texts are also part of the subject-matter of linguistics, the notion of texts also implies an approximation of literary studies and linguistics, which were programmatically separated in the 60s. (Kurz 2000: 210).

In a stylistic and text linguistic perspective:

¹⁰⁶ „Die ‚komplexe Realität‘ verlangt denn auch, daß einerseits die literaturwissenschaftlich orientierte Übersetzungsforschung, die bisher noch weitgehend ein Eigenleben führt, voll in das Fach Übersetzungswissenschaft integriert wird; eine *eigene* ‘Wissenschaft der Literaturübertragung’ gibt es nicht, F. Nies (1988: 50) zu recht bemerkt“. (Reiß 1989: 98).

¹⁰⁷ „Aus diesen Befunden den Schluß zu ziehen, daß sich ein linguistisches Herangehen an literarische Texte verbietet, wäre freilich grundfalsch (s.o., 1.8.2.); wohl aber muß sich die - unverzichtbare - linguistische Analyse (gerade auch als Ausgangspunkt einer wissenschaftlichen Übersetzungskritik) ihrer Grenzen (aber selbstverständlich auch ihrer Möglichkeiten, die sich nicht zuletzt aus der Differenzierung des Äquivalenzbegriffs ergeben) bewußt sein, und das heißt: sie muß sich mit den überaus komplexen Bedingungsgefüge, in den Übersetzungen literarischer Texte stehen, beschäftigen“. (Koller 1992: 300).

The relationship between linguistics and literary studies is conceivable more as an interdisciplinary cooperation in the sense of an applied linguistics to be defined. Thus, it is presupposed that there are subject-matter areas which do not genuinely belong either to one or the other historically formed disciplines. (Spillner 1974: 11)¹⁰⁸.

3.3 Snell-Hornby's Proposal

Despite the general call by scholars in several research lines in favor of an integrated approach, as pointed out above, very few proposals have materialized this desideratum. One of the best-known efforts at integration corresponds to Snell-Hornby's 1988 *Translation Studies. An Integrated Approach*. Snell-Hornby's point of departure is similar to the one discussed above: "All the theorists, whether linguists or literary scholars, formulate theories for their own area of translation only; no attempt is made to bridge the gap between literary and 'other' translation" (ibid: 26).

Within her conceptual framework, Snell-Hornby resorts to the categories of *prototype*, as developed by Rosch (1973) and Lakoff (1982), and *gestalt* (Wertheimer 1912), in order to overcome what she considers to be a prevailing box-like categorization, and an atomistic and fragmented approach in linguistically-oriented translation theory (ibid 29). These concepts are materialized in the proposal of a text prototypology which attempts to account for the fact that "the vast majority of texts are in fact hybrid forms, multi-dimensional structures with a blend of sometimes conflicting features" (ibid: 31). Snell-Hornby summarizes her proposal about 'text type and relevant criteria for translation' in a diagram with six levels: A, conventional translation areas (literary, general language and special language translation); B, a basic text-type prototypology (from the Bible to the language of modern technology); C, non-linguistic disciplines inseparably bound up with translation (cultural history, literary studies, socio-cultural and area studies, studies of special subjects); D, important aspects and criteria governing the translation process itself (e.g. creative extension of language norms, narrowing scope of differentiation, conceptual identity);

¹⁰⁸ „Das Verhältnis von Linguistik und Literaturwissenschaft ist vielmehr als interdisziplinäre Kooperation im Sinne einer allerdings noch zu definierenden, angewandten Linguistik denkbar“. (Spillner 1974: 11).

E, areas of linguistics relevant for translation (e.g. historical linguistics, text-linguistics, LSP syntax); F, phonological aspects of specific relevance for certain areas of translation (speakability, sound/rhythm, phonological effects) (ibid: 32).

Snell-Hornby's integrated approach actually does not integrate the different above-mentioned levels. For instance, the non-linguistic disciplines as well as the linguistic disciplines have not provided a theoretical framework to draw on in her proposal. Additionally, the concepts of dimension ("linguistic orientation realized in lexical items, stylistic devices and syntactic structures" [ibid: 52]), and perspective ("the viewpoint of the speaker, narrator or reader in terms of culture, attitude, time and place" [ibid]) are 'complementary concepts' to those of system, norm and text, but are not clearly articulated either. To my understanding, the reason for this is that no communicative model of translating is depicted as an effective and constant point of reference in her proposal, even though Snell-Hornby explicitly acknowledges that "for the translator the text is not purely a linguistic phenomenon, but must also be seen in terms of its *communicative* function, as a unit embedded in a given *situation*, and as a part of a broader socio-cultural background" (ibid: 69; Snell-Hornby's emphasis). The method she proposes for the text analysis is top-down: the translator identifies the text in terms of culture and situation, then the analysis of the text structure is carried out from the macrostructure to the level of lexical cohesion, "including the relationship between the title and the main body of the text, and finally strategies should be developed for translating the text, based on conclusions reached from the analysis" (ibid). In order to carry out the text analysis, Snell-Hornby focuses on the progression of lexical fields within the text (ibid: 73); another chapter corresponds to scenes-and-frames semantics (ibid: 80), and still another one to speech acts and parallel texts. Unfortunately, this conceptual framework is not cross-illustrated by using the same examples: each approach uses different examples, so that the articulation and integration fail to be accomplished.

I agree with Snell-Hornby's proposal not to pose a dichotomy between special language and literary translation, but rather to see "a spectrum with its areas of dynamic tension" (ibid: 111). However, the tentative rule-like hypotheses Snell-Hornby (ibid: 115) presents concerning the "pragmatic" or the "literary" nature of texts and their prevailing functions are rather reductive in the sense that they do not

take into account that the function to be fulfilled by a translation depends not only on the text itself but also on the initiator's instruction and the translator's understanding of his task. Though Snell-Hornby's analysis acknowledges the presence of a 'commissioner', even if it is only explicit in one of the examples she discusses, she does not spell out how one is to determine this 'intentionality' when translating texts. As regards the 'factor of style', Snell-Hornby, following Ullmann's distinction in lexical semantics, talks about 'opaque' and 'transparent' styles (ibid: 122). One problem with this terminology is that one cannot easily draw a line to distinguish one type of style from the other. Second, it is implied that 'style' is completely homogeneous, an either-or category, precisely the same dichotomous approach Snell-Hornby wishes to overcome with her proposal; and third, this understanding of style unnecessarily renders 'obscure' and enigmatic examples found in literary texts (ibid: 123), which can be better explained by resorting to traditional rhetorical devices. Thus, for instance, instead of speaking of an 'opaque style' in collocations such as 'crackling music' and 'scrambling tortoise', it is more accurate and easily comprehensible to consider them as metaphorical constructions, where unusual lexical fields have been combined to create a somehow disconcerting effect on the reader.

To sum up, I would say that Snell-Hornby's proposal has the merit of having been, to the best of my knowledge, one of the first attempts at integrating the two traditionally opposed approaches: linguistically- and culture/literature-oriented. The main shortcoming of her proposal is that she did not have a general conceptual framework which would account for the communicative nature of translating, a fact of which she was clearly aware (cf. above). Besides, she did not elaborate on the characteristics of literary and pragmatic texts or on the topic of literary translation itself. It is my view that an interdisciplinary approach to translation studies can be developed only when these aspects are also taken into account. Thus, we need to resort to text linguistics, pragmatics, cognitive theory and the theory of general and literary translation to see how the peculiarities of literary texts are discussed and how they are differentiated from pragmatic texts. In this way the similarities and differences between literary and pragmatic texts, at the extremes of a text typological

spectrum, as well as their relevance for translation, can be better understood and more easily integrated into a holistic approach.

3.4 Literary and Pragmatic Texts: Similarities and Differences

I would agree with Snell-Hornby's understanding that if a holistic approach to translation studies is to be developed, then it is necessary to account not only for technical or pragmatic texts¹⁰⁹ but also for literary texts as well. This broad enterprise including literary texts can also be justified because, as Koller (1997: 91) says, "specific aspects of translation can be explained precisely –and partly only- through the analysis of these text types."¹¹⁰ Besides, as Coseriu (1978: 203) has pointed out, "poetic language turns out to be not a linguistic use among others, but simply language (without adjectives): the realization of all the possibilities of language as it is."¹¹¹ This same idea about the special characteristics of poetic or literary language had also been recognized in literary translation by Kloepfer (1967: 9): "The language of literature, especially the language of poetry, embraces all aspects of language."¹¹² In other words, to present a translation theory that excludes literary texts means dealing with a *partial* theory of translation, for there are some linguistic features displayed exclusively by literary texts that generally cannot be studied in technical/pragmatic texts, for example, the narrative structure. Additionally, some literary texts, for instance narratives, are characterized by the use of different registers or sociolects in the same texts; this richness and diversity is a linguistic characteristic rarely found in other text-types. This textual heterogeneity which is so typical of literary texts is part of the translation reality to be accounted for by any *general* translation theory and, therefore, should be taken into consideration. Thus, I think that the multifarious nature of translation cannot be apprehended unless both extremes of

¹⁰⁹ For the purposes of this discussion, 'technical' and 'pragmatic' texts are considered to be equivalent to the extent that they are generally opposed to 'literary texts'. However, from a speech act theory or pragmatic perspective *stricto sensu* one could argue that all texts are pragmatic to the extent that they fulfill the communicative intention of a given sender.

¹¹⁰ „Bestimmte Aspekte der Übersetzung können gerade –und zum Teil nur- erhellt werden durch die Analyse dieser Textsorten“. (Koller 1997: 91).

¹¹¹ "El lenguaje poético resulta ser, no un uso lingüístico entre otros, sino lenguaje simplemente (sin adjetivos): realización de todas las posibilidades del lenguaje como tal". (Coseriu 1978: 203).

a text-type spectrum ranging from literary to technical or pragmatic texts are taken into account. Besides, linguistics nowadays is also better equipped to carry out a more satisfactory description of literary texts, thereby “bridging the gap between literature and nonliterature, and thus between linguistics and poetics”, as Pratt (1977: 79) predicted three decades ago.

Literary studies and linguistics can be integrated to the extent that both deal with texts, and texts are the result of a communicative interaction taking place between participants belonging to complex contextual determinants (social, cultural, historical, political, ideological, etc). Language in its realization, i.e. in texts, should be viewed both internally (taking into account its structure both formally and semantically) and externally (considering its pragmatic dimension reflecting specific intentions to be materialized by interlocutors in the communicative event). From the internal perspective, it is clear that all texts are made up of content and form, a fact amply recognized in the theory of translation for some decades now (cf. Fedorov 1953: 13; Störig 1973: xxi). The external determination not only of pragmatic texts but also of literary texts is confirmed by the fact that “a literary text does not exist in a vacuum; while it is not bound to a single, specific situation as is a road sign or a legal contract, it has its own situational relationship to reality” (Snell-Hornby 1988: 113).

Even though text linguistics has dealt mostly with technical or pragmatic texts, the hypothesis is generally recognized, albeit not developed, that between literary and pragmatic texts it is not always easy to draw clear boundaries (cf. Brinker 2001: 20). In literary theory, on the other hand, an effort has been constantly made to establish the peculiar characteristics of literary texts, generally by drawing a dichotomous line between technical or pragmatic texts and literary texts. I would propose to organize the criteria distinguishing these two text types into three main textual communicative aspects: semantic referential (fiction vs. nonfiction texts), stylistic (ordinary vs. nonordinary language), and pragmatic (aesthetic vs. utilitarian texts).

¹¹² „Die Sprache der Literatur, insbesondere der Dichtung, umfaßt alle Aspekte der Sprache“. (Kloepfer 1967:9).

According to the semantic referential criterion, literary texts are characterized as representing a fictional world, in opposition to technical or pragmatic texts which represent or relate to a real world. This strong opposition has been called into question as the defining criterion differentiating literary and pragmatic texts. Pratt (1977) points out that “the line between fiction and nonfiction is extremely unclear” (ibid: 96). Even though she acknowledges that “what makes the subject-matter of prose fiction ‘poetic’, unlike that of journalism, is its fictionness, its lack of truth value” (ibid: 27), she immediately warns that “even shifting the grounds on which poeticality is defined does not save the argument here, since fictionness plays an important role in extraliterary discourse, too” (ibid). Pratt is interested in showing that, within a pragmatic view of language use as speech acts, both literary and nonliterary texts can be subsumed under one single text type, that of ‘display texts’ which “refer to exclamations, natural narratives and literary works” (ibid: 143), in which

a speaker is not only reporting but also verbally *displaying* a state of affairs, inviting his addressee(s) to join him in contemplating it, evaluating it, and responding to it. His point is to produce in his hearers not only belief but also an imaginative and affective involvement in the state of affairs he is representing and an evaluative stance toward it. He intends them to share his wonder, amusement, terror, or admiration of the event (Pratt 1977: 136).

Thus, Pratt further elaborates on her hypothesis about the characteristics shared by both literary and nonliterary texts and, based on Labov’s (1972) analysis of real narratives, shows that, structurally speaking, there are more similarities than differences between literary narratives and real world narratives (both types of narratives display basically the same structure: abstract, orientation, complicating action, evaluation, result or resolution, and coda). Therefore, for Pratt, fictionness is a feature present in all display texts: natural narratives and literary works alike.

A similar stance has been recently expressed by Adamzik (2004). For Adamzik, the classification of texts into literary/fiction texts and practical/everyday texts, i.e. between texts related to the ‘real world’ and those created in a literary text, is questionable because “nonliterary texts can also refer to a fictional or merely possible world and literary texts can also show a relationship to the reality involved in

a concrete historical situation (prototype: historical novels)” (ibid: 62)¹¹³. Besides, in literary created worlds, it is also important to determine “to what extent they represent a world very similar to reality (prototype: realistic literature) or else completely different from it (prototype: fantasy literature)” (ibid)¹¹⁴.

From a cognitive perspective, Pratt also wonders, “Does it not make more sense to say that our ability to conceive and manipulate hypothetical worlds or states of affairs, possible or impossible, real or unreal, and to mediate between those worlds and our own is part of our normal cognitive and linguistic competence?” (Pratt 1977: 92). And she further elaborates in the same direction: “And the capacity to use that imaginative faculty in aesthetically and rhetorically effective ways is also part of our normal linguistic competence” (ibid). Likewise, within a modern cognitive approach to literature, Hogan (2003) expresses a similar viewpoint:

But none of this yet responds to the fictionality problem per se. How is it that we respond emotionally to literature at all? It turns out that this too is easy to explain. Our emotional response is a matter of trigger perception, concrete imagination, and emotional memory. The issue of fictionality just does not enter. To know that something is fictional is to make a judgment that it does not exist. But existence judgments are cortical. They have relatively little to do with our emotional response to anything. The intensity of emotional response is affected by a number of variables, as we have noted. These variables include, for example, proximity and speed, vividness, expectedness, and so on. These variables affect our response to literature, film, and other arts just as they affect our response to the natural world. But pure judgments of existence have only limited bearing on any of this. One can see why this would be the case. Our ancestors were not faced with situations where they had to discriminate between real lions and mere illusions. (Hogan, 2003: 185).

I consider then that the semantic referential criterion of fictionality does not necessarily entail a clear-cut distinction between literary and nonliterary texts. Structural narrative and cognitive evidence seems to point to this conclusion. However, if a continuum can be established from literary to nonliterary texts, and the

¹¹³ „Eine solche Gegenüberstellung führt allerdings in Schwierigkeiten, da nicht-literarische Texte sich auch auf eine fiktionale oder nur mögliche Welt beziehen können und literarische Texte auch einen Bezug auf die Wirklichkeit einer konkreten historischen Situation aufweisen können (Prototyp: historische Romane)“. (Adamzik 2004: 62)

¹¹⁴ „Allemaal ist für die literarisch geschaffenen Welten auch die Frage wichtig, inwieweit sie eine mit der Realität vereinbare Welt präsentieren (Prototyp: realistische Literatur) oder auch davon völlig abweichen (Prototyp: Fantasy-Literatur)“. (Adamzik 2004: 62).

fictionality feature seems to be more clearly activated at the literary extreme of this cline, it is also true that literary texts taken as whole textual entities cannot be considered as semantic referential texts *stricto sensu*, i.e. they do not refer to actual events as they took place in reality; they *recreate* reality, sometimes with a very close approximation to it (e.g. historical and realistic novels) and at times with a more clearly depicted and easily recognizable autonomous fictional and possible world (fantasy novels). The semantic autonomy we allude to is what Koller (1998), following Anderegg (1973: 96), calls ‘immanent meaningfulness’, according to which “...the *fictional text* [...] creates its world, its reality in the text and through the text itself, or the reader constructs this reality in the reading process” (Koller 1998: 123)¹¹⁵. Thus, this inherent, structural autonomy of literary texts is also evidenced in their functioning: “In fact, we assume the literary utterance is expressly designed to be as fully ‘detachable’ as possible, since its success is in part gauged by the breadth of its audience and since its legitimate addressee is ultimately anyone who can read or hear” (Pratt 1977: 148). Sager (1998: 82) also points in the same direction, paying special attention to the translator’s role as a reader of the world portrayed in the literary text: “In creative writing the author invents the world, environment, setting, characters, their speech and philosophy, which he or she presents to the reader. The translator has no objective reality against which to measure the author’s fictional world and is therefore in the same position as a native-language reader who has to interpret what they read.”

With regard to the stylistic criterion for differentiating literary and nonliterary texts, the Russian Formalists and the Prague School attempted to formulate an opposition between poetic and ordinary language. Pratt (1977: 16) sees in this opposition some “misconceptions about the relation between literature and the rest of our verbal activities”. And “the most serious of these is the belief that literature is linguistically autonomous, that is, possessed intrinsic linguistic properties which distinguish it from all other kinds of discourse” (ibid). Pratt considers that this viewpoint, in the terms in which it was formulated by Eijembaum, Jakobson and

¹¹⁵ „Das ist anders bei einem *Fiktivtext*: dieser stellt seine Welt, seine Wirklichkeit im Text und durch den Text selbst her, bzw. der Leser konstruiert diese Wirklichkeit im Leseprozeß. Der Fiktivtext zeichnet sich durch immanente Sinnhaftigkeit aus (Anderegg 1973: 96)“. (Koller 1998: 123; also in Koller 1992: 278).

others, is wrong, because it does not take into account “evidence from nonliterary discourse” (ibid). This is a methodological flaw with clear consequences for the alleged characterization of an autonomous literary language.¹¹⁶ And she adds:

It would be foolish to suggest that we critics have been consciously misled over the years by a tacit conspiracy of poetics. I mean to say only that since linguistics had no theory of language use to offer, poetics simply invented its own in accord with its aesthetic ideology. But it isn't a very good theory. It has trouble explaining the fact that literary and nonliterary utterances are alike at all. Ultimately, it renders poetics and linguistics mutually exclusive and in so doing it misrepresents the status of literary discourse in the grammar as completely as it misrepresents the role of aesthetic considerations in our speech behavior outside literature. (Pratt 1977: 16).

As Pratt further explains, the main cause for the survival of this opposition until recent times is due to the fact that there was no theory of language use available and “the lack of such a theory in part explains both the longevity of the poetic/nonpoetic dichotomy and the ongoing mutual exclusiveness of poetics and linguistics” (ibid: 21).

From a cognitive perspective, Hogan (2003: 87), quoting Pratt's remarks that “the body of utterances we call ‘literature’ is not systematically distinguishable from other utterances on the basis of intrinsic grammatical or textual properties”, maintains that this idea corresponds entirely to modern cognitive views. According to Hogan, what characterizes ‘genius’ is “an intenser form of ordinary creativity” (ibid). And he adds that “understanding a postmodern novel is an exercise of the same order as interpreting life itself from the fragmentary evidences of quotidian experience. More generally, for most cognitive scientists, there is no difference in kind between the practices of literature and those of ordinary thought. There is, at most, a difference in their extent or degree” (ibid). As regards rhetorical devices, generally considered prototypical rhetorical recourses in literary discourse, Hogan maintains that “metaphor is no exception. Whatever we may think metaphor is, it is not one thing in

¹¹⁶ “I mean simply this: throughout the exhaustive literature this century has produced on metrics, rhythm, syllabification, metaphor, rhyme, and parallelism of every kind, the role these devices do play in real utterances outside literature was never seriously examined or recognized. Likewise, throughout the brilliant body of Formalist scholarship on prose fiction, nary a scholar seriously poses the question of whether or to what extent devices like palpableness of form, estrangement, foregrounding, and laying bare of devices do exist outside literature.” (Pratt 1977: 5).

poems of high seriousness and another thing in idle talk. It is the same thing everywhere” (ibid). Thus, for cognitive theorists, the innovative character present in metaphors can be materialized “in everyday conversation as well as in sonnets” (ibid).

As I pointed out at the beginning of this section, the full potentiality of language (cf. Coseriu 1978) is more often than not expressed in literary texts, but it does not mean that everyday language and also technical and scientific language do not or cannot resort to these rhetorical resources as well. Of course, language creativity as expressed in experiments in linguistic (stylistic) forms is more aptly evidenced in literary texts which by definition, as we will see next, are beyond immediate practical purposes. However, the conclusion cannot be drawn, as some followers of Formalists have done, that only literary texts have ‘style’. The stylistic dimension is a textual dimension which is present in all texts, as the production of all texts implies the selection of linguistic means (inexorably linked to semantic content) to express a communicative purpose. Likewise, it is undeniable too that literary texts -and especially poetic texts written in verse- (cf. Appel 2004: 20) generally display a higher degree of elaboration in their linguistic form than everyday texts. As Hogan said above, the stylistic criterion for differentiating literary and nonliterary texts would be relative, not an absolute dichotomy, and it would rather be a matter of ‘extent or degree’ of elaboration. Another tenet of the Formalists was the ‘deautomation’ of language use in literary discourse, i.e. the conscious reflection on linguistic means. Based on what I said above, I partly agree with Kapp’s¹¹⁷ view that this ‘deautomation’ is a distinguishing feature of art, but then the point is that not all literary works resort to this ‘deautomating’ mechanism, and despite that they are still considered literary works of art.

The third criterion we can mention concerning the distinction between literary and nonliterary texts is a pragmatic one, according to which, in Koller’s (1992: 275) terms, “the participation or not in aesthetic communication and the type of this

¹¹⁷ „Die Besonderheiten der poetischen Sprache und die Besonderheiten des von literarischen Texten implizierten kommunikativen Hintergrunds sind zwei Seiten ein- und desselben Faktums: sie gehören, wie die russischen Formalisten gezeigt haben, zu den speziellen Eigenschaften der Kunst, auf Grund deren sich die Deautomatisierung in der Wahrnehmung von Sachverhalten der Kunst wie der Realität durch eine Deautomatisierung des sprachlichen Ausdrucks verwirklicht“. (Kapp 1984: 140).

participation generally do not entail any social sanctions. Nor does the fictional text usually provide guidance in our practical action”¹¹⁸. In a similar direction, Nord (1997b: 39) expands on the pragmatic differentiation between literary and nonliterary texts and she maintains that “in literary texts the relation between the sender-bound intention and the receiver-bound function is frequently not as clear as in practical texts, whose function, as a rule, may be more easily derived from the situational circumstances and the conventionally-established linguistic characteristics”¹¹⁹. Thus, for Nord, literary texts are marked by “a functional vagueness or a multifunctionality” (ibid: 40)¹²⁰. The literary text, seen from a pragmatic perspective, is part of a communicative event where a negotiation is established between sender and receiver, according to which “we knowingly and willingly enter a speech situation in which another speaker has unique access to the floor” (Pratt 1977: 114). We as the audience participate in this communicative event because we are interested in recreating the experience (thoughts, emotions, ideas, etc) the author has expressed in his text. In pragmatically-oriented texts, most of the shared experience is cognitive, i.e. related to ideas and thoughts; whereas in aesthetically-oriented texts emotions are also called for.

Thus, from a pragmatic perspective literary texts, unlike nonliterary texts, are characterized by their being produced in a communicative situation where no practical goal is to be achieved but rather an aesthetic experience is aimed at. Within the framework of the so-called aesthetics of reception, it is maintained that, in hermeneutic terms, *the* interpretation of a text does not exist (cf. Iser 2001: 4)¹²¹. I think that it is important to distinguish two levels of interpretation which are generally confused and not properly distinguished. All texts, literary and nonliterary,

¹¹⁸ „Teilnahme bzw. Nicht-Teilnahme an ästhetischer Kommunikation und die Art dieser Teilnahme ziehen in der Regel keine gesellschaftlichen Sanktionen nach sich. Auch dient uns der Fiktivtext im allgemeinen nicht als Anleitung in unserem praktischen Handeln“. (Koller 1992: 275).

¹¹⁹ „Ein Unterschied, daß bei den literarischen Texten die Relation zwischen senderbedingter Intention und empfängerbedingter Funktion vielfach nicht so eindeutig ist wie bei Gebrauchstexten, deren Intention/Funktion sich aus den situativen Gegebenheiten und den konventionell festgelegten sprachlichen Merkmale in der Regel einfacher ableiten lassen dürfen“. (Nord 1997b: 39).

¹²⁰ „Für literarische Texte wird häufig angenommen, daß sie gerade durch eine funktionale Vagheit oder auch eine Multifunktionalität bzw. für die Offenheit für die verschiedensten Funktionen (hier: Interpretationen) ausgezeichnet sind“. (Nord 1997b: 40).

¹²¹ „Die drei genannten, sehr unterschiedlichen Übersetzungsverhältnisse haben deutliche Rückwirkungen auf die Struktur der Interpretation, woraus wir an dieser Stelle bereits den Schluß ziehen können, daß es *die* Interpretation nicht gibt“. (Iser 2001: 4).

allow for two types of readings or interpretations: a denotative and a connotative one. The denotative reading implies a reconstruction readers make in their minds of the series of events which are being depicted in a text. In a nonliterary text, this reading generally follows a straightforward reconstructive sequence similar to the development of events as we know them in real life. In literary narratives, on the other hand, this reconstruction is not straightforward, and, using two categories introduced by the Formalists, we can say that the *fable* (story) or chronological series of events narrated has to be reconstructed from the *sujet* (discourse) where events are usually presented in a sequence which does not necessarily follow that of the actions as we would experience them in reality¹²². The second reading or interpretation is connotative and has to do specifically with the activation of ‘subjective’, emotionally-related meanings by the reader. Nonliterary texts generally do not leave much room for this type of interpretation; only in some textual spots where rhetorical devices are used can this connotative reading be activated. Literary texts do allow for this second type of reading precisely because of their artistic aesthetically-related nature, due not only to the use of rhetorical devices but to their whole ‘immanent meaningfulness’ (cf. above) which readers recreate when they experience and enjoy literary texts. In this connotative meaning-recreation process, readers are active participants, i.e. they do not simply input into their minds what is stated in the literary text, but they also contribute their own living experience. Cognitively speaking, this is how we interpret texts. Thus, it is in this second reading that the hermeneutic claim about the nonexistence of *the* reading of the text is to be understood. It is clear then that the first denotative reading is not ‘subjective’ and therefore may roughly coincide among readers, whereas the second connotative reading by definition is bound to vary to a greater or lesser extent among readers of literary texts.

3.5 Translation of Literary Texts

The question of the translation of literary texts is very complex. In this section I attempt to show some of the most critical issues one finds in this respect. First, I will

¹²² In Hogan’s (2003: 115) terms: “A central distinction in narratology is that between story and discourse, what happens and the presentation of what happens.”

examine the question of the 'function' of translated literary texts; then I will discuss the method of translating literary texts, and finally I will look at the pragmatic dimension of the translation of literary texts.

The question of the function of translated literary texts can be seen from two perspectives: a holistic, all-embracing viewpoint which corresponds to the outermost dimension, that is, the cultural value of translated texts in the target community; and a more restricted point of view, more closely related to the communicative function of both original and translated text.

As a point of departure I would like to review briefly the opposition one usually finds between the translation of literary and nonliterary texts, and how this opposition could be considered from an integrated viewpoint. Recently, Katrin Zuschlag (2002) has attempted to show that our understanding of the peculiarities of literary translation (or narratives, for that matter) can be better understood if conceptual tools from linguistics *and* literary theory are used¹²³. A similar interest in studying the translation of the literary text and expanding its results to other text types had also been expressed by Apel (1983), who advocated a complementary study of both literary and nonliterary texts¹²⁴. However, Apel considers that a linguistic approach, like the one formulated by the Leipzig School, will not be of use for studying literary translation because contextual historical variables should be taken into account for both literary and pragmatic texts alike (ibid: 17)¹²⁵.

Other authors think that the distinction in translation between pragmatic and literary texts is justified to the extent that literary texts cannot be limited to a

¹²³ „Es soll gezeigt werden, daß literarische Übersetzungen nur mit einem Instrumentarium aus Linguistik *und* Literaturwissenschaft adäquat beschrieben werden können“. (Zuschlag 2002: 2).

¹²⁴ „Demgegenüber wäre zu erkennen, daß die Problematik der literarische Übersetzung nur die Spitze des Eisbergs ist, so daß die Ergebnisse der Analyse der literarischen Übersetzung in modifizierter Form auch auf andere Textsorten Anwendung finden könnten, wenngleich darüber hinaus bei diesen Texten Probleme auftauchen, für die Literaturwissenschaft nicht unmittelbar zu ständig ist“. (Apel 1983: 9).

¹²⁵ „Von den Variablen des Übersetzungsprozesses, die die Linguistik ausklammerte, gehören zeitlich-historische zu den wichtigsten. In Anlehnung an die Naturwissenschaften behandelte nämlich die Linguistik Texte wie natürliche Objekte und legte sie damit fest, während doch nicht nur der literarische Text, sondern auch der Sachtext unter einer je bestimmten historisch sich verändernden Konstellation von Faktoren, als von Bedingungen von Handlungen und Entscheidungen, verstanden wird“. (Apel 1983: 17).

communicative function (cf. Nord 1997b: 40; Schreiber 1993: 85)¹²⁶. I think that this last contention is problematic and can be easily refuted if the nature of literary texts is reconsidered. In this regard, literary texts have a distinguishing characteristic when compared with pragmatic texts: the former have a universal aesthetic value, which allows them to function with a high degree of contextual independence in foreign cultural milieux; the latter, on the contrary, are distinctly context-bound. However, the more technical or specialized a pragmatic text is, the more likely it is also to function universally in its own universe of discourse¹²⁷, i.e. in the group of specialized users. Thus, in terms of the textual communicative function of translated pragmatic and literary texts some resemblance can also be observed: both can have a rather universal character, but materialized in the form of different effects -‘aesthetic delight’ for the reader of literary texts, and ‘cognitive delight’ for the reader of pragmatic texts.

As regards the function of translated texts in the target culture as a whole, Levý (1969: 76) -before the idea was expressed by representatives of the polysystem theory (cf. 2.1)- pointed out that translated texts “can replace or support (e.g. when national literatures emerge) national literatures or those spaces where national production is insufficient (e.g. English drama translations in the second half of the nineteenth century), or they can compete with the local productions”¹²⁸. Without using a dichotomous opposition of the type proposed by theorists of the polysystem theory (cf. Even-Zohar 1978/2000), in which literary translated texts are seen alternatively either in the ‘center’ or in the ‘periphery’, Levý is able to discuss the strong or weak transformation effect translations can have on the literary patterns, i.e. genres of the target literary environment, taking into account the historical moment when translations are produced. It is within this framework that we should understand

¹²⁶ „Diese Dichotomie läßt sich begründen, daß sich literarische Texte –idealtypisch betrachtet- im Gegensatz zu pragmatischen Texten nicht einfach auf eine kommunikative Funktion reduzieren lassen“. (Shreiber 1993: 85).

¹²⁷ Coseriu (1982: 318) defines ‘universe of discourse’ as follows: “Por *universo de discurso* entendemos el sistema universal de significaciones al que pertenece un discurso (o un enunciado) y que determina su validez y su sentido. La literatura, la mitología, las ciencias, la matemática, el universo empírico, en cuanto ‘temas’ o ‘mundos de referencia’ del hablar, constituyen ‘universos de discurso’”. (Coseriu 1982: 318).

¹²⁸ „Sie [die Übersetzung] kann die Nationalliteratur ersetzen oder stützen (z. B. in der Zeit des Entstehens der Nationalliteraturen) bzw. jene ihrer Gebiete, wo die heimische Produktion ungenügend

M. Gaddis Rose's (1990: 308) claim about the 'loss' a translation supposedly entails: "Of course literature loses in translation. But the losses are offset by the gains: offset spatially, temporally; externally, internally; and inter-liminally. (By this last adverb, I mean the mental space in between the work in question in the author's language and the resulting work in the translator's language as experienced aesthetically by any reader, including the translator who knows both languages)."

When the function of original and translated text is discussed, one finds that the issue of the preservation or change in the function of the original and the translated text has to do with the claim made by skopos theorists that the original's and the translation's functions rarely coincide, i.e. they consider that the typical situation in translation (of both literary and nonliterary texts) is that some shift in function from original to translated text take place according to the purpose (skopos) expressed by the commissioner or initiator of the translation process and the directives the translator is consequently supposed to follow. Or, in Albrecht's terms: "The skopos theory does not begin from the idea that the original and the translation (at least the fictional) should be assigned a similar function" (Albrecht 1998: 259)¹²⁹. Thus, contrary to the skopos theorists' claim as to a shift in function in the translation process (cf. Vermeer and Reiss 1984), literary texts are seen, rather, as 'sacred originals' (ibid: 260), i.e. their original function must be respected by the translator. Sager (1998: 76) has also expressed a similar view to that of Albrecht's: "In literary translation, we generally assume the intentions and expectations of source and target text to be the same" (cf. also Appel 2004: 24). Thus, the skopos theory proves basically inadequate to deal with the translation of literary texts, as one of its main tenets (cf. 2.2) is that the source language text actually does not matter, and therefore its intention is moved into the background. Of course, not translations but adaptations do find some place in the commissioner's open intent to shift the function of the original. Let us remember that the skopos theory does not draw a distinction between 'translation proper' and 'adaptations', as both are subsumed under the heading of 'translat', the product of translational action.

ist (z. B. die englischen Dramenübersetzungen in der zweiten Hälfte des 19. Jahrhunderts), oder sie kann umgekehrt mit ihr konkurrieren". (Levý 1969: 76).

¹²⁹ „Die Skopostheorie geht nicht davon aus, daß dem Original und seiner Übersetzung (zumindest fiktiv) eine vergleichbare Funktion zuzuschreiben sei“. (Albrecht 1999: 259).

As regards the method of translating literary texts, Schleiermacher (1883), quoted by Störig (1973: 47), maintains that the translator has basically two possibilities when performing his task: he can either leave the writer alone and move the reader to him, or leave the reader alone and move the writer to him¹³⁰. It is not difficult to observe that this is another formulation of Cicero's (46 BC) well-known claim that one can translate *ut orator* or *ut interpres*, (cf. Vega 1994: 77), which puts in a nutshell the classical distinction, now two millennia old, between free and literal translation, respectively. Schleiermacher's characterization of this distinction is very important because it explicitly complements the emphasis of Cicero's original statement concerning the translator's task to include the other two participants in the translation process: the sender (writer) and the receiver (reader). It is clear, however, that Cicero had also envisioned the effect of his translation method on the target readers. Thus, in modern conceptual terms, one could say that Schleiermacher's methodological insights about the translator's choice in his activity are pragmatically-oriented, i.e. communicative. A brief review of the history of translational ideas shows that, before Schleiermacher, the most notable thinkers interested in translation (Luther, Vives, Dolet, Huet, Dryden, Tytler, etc.) had also expressed their understanding of the dichotomy between free and literal translation methods. We need only recall Saint Jerome's words (405 AD): "I do not only confess but also declare freely that, when interpreting Greek authors, apart from the Holy Scriptures where the word order is mysterious, I do not translate word for word but extracting sense from sense."¹³¹

In the theory of literary translation, an extensive and detailed discussion of Cicero's initial distinction between free and literal translation and its different variations throughout history has been carried out by Kloepfer (1967). On the other hand, Levý (1969) has suggested that we distinguish between two translation methods: 'illusionistic' and 'anti-illusionistic'. In the first one, the translation "should

¹³⁰ In Schleiermacher's words: „Meiner Erachtens giebt es deren nur zwei [Wege]. Entweder der Uebersetzer läßt den Schriftsteller möglichst in Ruhe, und bewegt den Leser ihm entgegen; oder er läßt den Leser möglichst in Ruhe und bewegt den Schriftsteller ihm entgegen“. (Störig 1973: 47).

¹³¹ „Ego enim non solum fateor, sed libera voce profiteor me in interpretatione Graecorum, absque scripturis sanctis, ubi et verborum ordo mysterium est, non verbum ex verbo, sed sensum exprimere de sensu“ (Vega 1994: 24).

look like an original, like reality” (ibid: 31)¹³²; whereas in the second one, “the public is offered only an imitation of reality” (ibid)¹³³. Taking into account the distinction we discussed above, in Schleiermacher’s terms, the illusionistic method would move the writer to the reader; whereas the anti-illusionistic method would move the reader to the writer; or, in other terms, the illusionistic method would be target-oriented, and the anti-illusionistic method source-oriented¹³⁴. Likewise, Holmes (1988b: 48) has reviewed some of the main trends in literary translation and has concluded that two tendencies can be identified with regard to the translator’s choices: “all exoticizing and historicizing, with an emphasis on *retention*, or all naturalizing and modernizing, with an emphasis on *re-creation*”. He adds that while “the nineteenth century was much more inclined towards exoticizing and historicizing on all planes”, “among contemporary translators, for instance, there would seem to be a tendency towards modernization and naturalization of the linguistic context, passed with a similar but less clear tendency in the same direction in regard to the literary intertext, but an opposing tendency towards historicizing and exoticizing in the socio-cultural situation” (ibid). It is not difficult to see that Venuti’s opposition (cf. 2.4) between domestication as “an ethnocentric reduction of the foreign text to target-language cultural values” (Venuti 1995: 20), and foreignization, defined as “an ethnodeviant pressure on values to register the linguistic and cultural difference of the foreign text, sending the reader abroad” (ibid), is not only akin to Schleiermacher’s distinction, as Munday (2001: 146) says, but also reminiscent of Levý’s illusionistic and anti-illusionistic methods, Holmes’ naturalizing and exoticizing translation trends, and Sager’s (1998) opposition between ‘adaptations’ and ‘culture-preserving translations’, respectively. Within the field of translation criticism, Venuti’s terms are

¹³² „Die *illusionistischen* Methoden verlangen, das Werk solle ‘aussehen wie die Vorlage, wie die Wirklichkeit’“. (Levý 1969: 31).

¹³³ „Die *antiillusionistischen* Methoden spielen dreist mit der Tatsache, daß sie dem Publikum nur eine Nachbildung der Wirklichkeit anbieten“. (Levý 1969: 32).

¹³⁴ In French translation studies, Ladmiral introduces a distinction which points somehow in a similar direction, but taking into account a sign-related text semiotic view : « j’appelle ‘sourciers’ ceux qui, en traduction (et particulièrement, en théorie de la traduction), s’attachent au *signifiant* de la *langue* du *texte-source* qu’il s’agit de traduire ; alors que les ‘ciblistes’ entendent respecter le *signifié* (ou, plus exactement, le sens et la ‘valeur’) d’une parole qui doit advenir dans la *langue-cible* » (Ladmiral 1993: 288).

also closely related to House's (1977/1997) distinction between covert (domesticating) and overt (foreignizing) translation¹³⁵.

Another issue related to translation methods has to do more with the way the text is to be translated. It is not a descriptive but rather a prescriptive approach which emphasizes the idea that in literary translation special attention should be paid to the form of the text. Of course, this thought reflects a traditional Russian Formalist view which considers that literary texts are differentiated from other texts by the focus on the text stylistic devices which set them apart from so-called ordinary language (cf. 3.4). It is true that in many examples of literary texts, especially in poetic texts, the aesthetic effect is created by the reproduction of the formal part of the text, whereas the content is moved, so to speak, into the background. This is clearly illustrated, for instance, in Levý's analysis of Christian Moergenstern's poem:

Ein Wiesel
saß auf einem Kiesel
inmitten Bach geriesel

translated into English by Max Knight in five different ways:

- | | | |
|---|--|---|
| 1. A weasel
perched on an easel
within a patch of teasel. | 2. A ferret
nibbling a carrot
in a garret | 3. A mink
sipping a drink
in a kitchen sink |
| 4. A hyena
playing a concertina
in an arena | 5. A lizzard
shaking its gizzard
in a blizzard | |

¹³⁵ "An *overt* translation is one in which the addressees of the translation text are quite 'overtly' not being directly addressed: thus an *overt* translation is one which must overtly be a translation not, as it were, a 'second original'" (House 1997: 66). "A *covert* translation is a translation which enjoys the status of an original source in the target culture" (ibid: 69).

where, “more important than the exactness of the detailed individual meanings is here the preservation of the word play” (Levý 1969: 104)¹³⁶. This is a methodological trend in literary translation that has also been recognized by other authors, e.g. Komissarov (1999: 74): “In order to attain the aesthetic value, the [literary] translator at times deviates from maximum precision in transmitting the content of the original. On the contrary, in informative translation the translator’s main focus of attention is on the information contained in the original text, which he seeks to transmit as completely as possible”¹³⁷.

On the other hand, reviewing the modern history of translated poetry, Holmes (1988a) is able to propose a classification of translation trends in three types: form-derivative, content-derivative and extraneous. Form-derivative translated poems can be mimetic or analogical. The mimetic form is “usually described as retaining the form of the original” (ibid: 25), and “tends to have the effect of re-emphasizing, by its strangeness, the strangeness which for the target-language reader is inherent in the semantic message of the original poem” (ibid: 27). The analogical school of translators “has traditionally looked beyond the original poem itself to the function of its form within its poetic tradition, then sought a form that filled a parallel function within the poetic tradition of the target language” (ibid: 26). The content-derivative or organic approach considers that “since form and content are inseparable (are, in fact, one and the same thing within the reality of the poem), it is impossible to find any predetermined extrinsic form into which a poem can be poured in translation, and the only solution is to allow a new intrinsic form to develop from the inward workings of the text itself” (ibid: 28). Finally, the extraneous form “leaves him [the translator] the freedom to transfer the meaning of the poem with greater flexibility than a mimetic or analogical form would have allowed” (ibid). Holmes maintains that the extraneous form “has had a tenacious life as a kind of underground, minority form alongside the other possibilities ever since the seventeenth century” (ibid); the analogical form

¹³⁶ „Wichtiger als die Genauigkeit der einzelnen Bedeutungen im Detail ist hier die Bewahrung des Wortspiels“. (Levý 1969:104).

¹³⁷ «Для достижения художественности переводчик порой отказывается от максимальной точности в передаче содержания оригинала. Напротив, в информативном переводе в центре внимания переводчика находится информация, содержащаяся в исходном тексте, которую он стремится передать возможно полнее». (Komissarov 1999: 74).

prevailed in the neo-classical eighteenth century, the mimetic in the nineteenth century, and the organic in the twentieth century.

Finally, from the pragmatic point of view, in the theory of literary translation it is acknowledged that the reader of the literary translated text plays a very important role in the translation process. However, some authors still hold a rather idealistic view about the identity of effect a translation is to bring about on the target text readers. For instance, Landers (2001: 27) maintains that “Not only characters but all facets of the work, ideally, are reproduced in such a manner as to create in the TL reader the same emotional and psychological effect experienced by the *original* SL reader.” The main shortcoming of this view as to the alleged ‘sameness’ of effect on both SL and TL readers is the lack of differentiation which it implies and the misunderstanding about the two possible readings of literary texts (denotative and connotative) which we discussed at the end of the previous section (cf. 3.4). Both SL and TL readers will read the literary text within a narrow range of variation as they attempt to reconstruct the text story from the plot. However, their connotative reading or interpretation, by definition subjective, will be open to multiple readings according to the aesthetic experience readers activate (in SL and TL alike) within the framework of their own life experience and horizons. In the case of poetry, Appel (2004: 30) points in the same direction, albeit without clarifying the two levels of interpretation we are discussing: “‘the comprehending contemplation’ of a poem implies that each reader individually assigns the poem its functions in a concrete reception situation.”¹³⁸ Furthermore, from the translator’s viewpoint, Kohlmayer (1988: 146) aptly maintains that “the literary translator, with some exceptions, always has to do with a relatively diffuse notion of the reader. He can commit himself, in agreement with the publishing house, to an ideal readership –school readings, limited editions, one-off editions- but as soon as he expects concrete guidance for the literary translation, the ideal readership will lose its clear contours and will dissolve pluralistically.”¹³⁹ Thus,

¹³⁸ „Die poetische Funktion in ihrer grundlegenden Rolle, die Bestimmung eines Gedichtes zur Betrachtung als Kunstwerk, d. h. das ‚verstehende Anschauen‘ eines Gedichtes impliziert, dass jeder Leser individuell dem Gedicht in einer konkreten Rezeptionssituation seine Funktionen zuschreibt.“ (Appel 2004: 30)

¹³⁹ „Der Literaturübersetzer hat es also, von Ausnahmen abgesehen, immer mit einem relativ difussem Leserbegriff zu tun. Er kann sich festlegen (lassen) – ‚Schulletüre‘, ‚Luxusausgabe‘, ‚Außenseiter‘-, sobald er jedoch von derlei Orientierungspunkten konkrete Hilfen für die Literaturübersetzung

concerning the alleged ‘sameness’ of effect on TL readers, and the effect of the connotative reading, I would support Zuschlag’s (2002: 115) claim that “...as to how the reception works –even if the text contains elements which guide its reception- in the end only conjectures can be made.”¹⁴⁰

erwartet, verliert das Leserbild seine festen Konturen und löst sich pluralistisch auf.“ (Kohlmayer 1988: 146).

¹⁴⁰ „Problematisch dabei ist, daß über Rezeptionsverhalten –selbst wenn der Text rezeptionssteuernde Elemente enthält- letztlich nur Vermutungen angestellt werden können“. (Zuschlag 2002: 65).

4 Proposal of a Dynamic Translation Model (DTM)

In the previous chapters we discussed linguistically-oriented translation approaches (Chapter 1), culture-and-literature-oriented translation approaches (Chapter 2), and the reasons for proposing an integrated approach (Chapter 3). This is what I intend to do here. In order to do so, I will draw on the main contribution made by linguistically oriented approaches in discussing the key concept of translation equivalence, and the early reflection by representatives of the Leipzig School about the communicative nature of translating, this time including, obviously, both linguistic and extralinguistic factors. I will also take into account some of the key issues discussed in culture-and-literature-oriented translation studies, especially the socio-historical value translations acquire in the target cultures which receive them (Descriptive Translation Studies), the role played by commissioner, translator, and target readership (skopos theory) in translational action, the importance of the translator's individual and subjective understanding and interpreting processes (hermeneutic approach), the understanding that meaning in translation is a complex and always dynamic phenomenon in the making in receivers' minds according to their personal experience (deconstructionist and poststructuralist stances), and that translation is always a power-related activity where traditional domination, colonizing schemes can be reproduced, reinforced, denounced and fought against (postcolonial approaches, gender studies, and cannibalism).

However, in order to construct my proposal, the input received from these translation approaches is not enough. As I develop the dynamic translation model, it will be evident that I will also resort to concepts developed in other disciplines such as text linguistics, literary theory, contrastive textology, sociolinguistics, stylistics, pragmatics, and semiotics. Thus, it will be clear that within this interdisciplinary approach, each discipline I draw on does actually provide some additional insight towards building my integrated translational approach.

First, I will discuss the definition of a translational model and the focus of translational models on texts, process or translator; then I will describe the overall structure and functioning of DTM, taking into account its three mutually-interconnected levels: historico-cultural context, intercultural bilingual communicative process, and text linguistics.

4.1 Translational models

For Neubert and Shreve (1992: 13), “A model is a conceptual construct. It is a logically connected set of conceptualizations of an object of study. It may also be a hypothetical construct. This means that the model asserts something about empirical (translational) reality which the researcher intends to prove. As a hypothetical conceptual construct, the model claims to have descriptive and explanatory power”. They also consider that in translation studies several models have been proposed (critical, practical, linguistic, text linguistic, socio-cultural, computational and psycholinguistic) and argue in favor of “an integrated theory [which] would bring the various models of translation and the various kinds of translation together in a more encompassing theoretical structure” (ibid: 14). Even though they claim that the integrative concept, the conceptual baseline, should be the ‘textual approach’, this idea is not developed into a fully integrated proposal, despite the authors’ efforts to discuss a wide range of issues ranging from cognitive aspects (translation knowledge and process), to the criteria of textuality, and translation as result.

On the other hand, Salevsky (2002: 79), just like other authors I discussed in the previous chapter, also acknowledges the need for a holistic determination of the subject matter of translation studies which calls for the interaction of different variables and the consideration of time factors¹⁴¹. However, she considers that at present such a general theory, which would take into account all translation processes (in Bible, literary and technical translation) and integrate partial theories, does not

¹⁴¹ „Eine holistische Gegenstandbestimmung fördert holistische theoretische Ansätze, die die Interaktion der verschiedenen variablen Einflußgrößen unter Berücksichtigung des Zeitfaktors zu erfassen suchen und damit eine integrative Theorie anstreben“. (Salevsky 2002: 79).

exist¹⁴². Salevsky also points out that some representatives of the so-called contrastive linguistic orientation think that such an integrative endeavor is not necessary. In this respect, she quotes Newmark (1991: 105), who openly discards any effort at integration: “translation is a fractured subject which is peculiarly unsuitable for a single integrated theory” (ibid: 203).

As regards the development of translation studies, Salevsky considers that three stages can be identified according to a specific emphasis: text, process, or translator. For her, text-related theories are text linguistically-based and deal with the equivalence relationship between SLT and TLT. Process-related theories have to do with text internal and external aspects of translational processes and are communication-, or activity-oriented. Finally, the theories focusing on the translator are concerned with research aimed at finding out what goes on in the translator’s mind (the so-called ‘black box’), and are psychologically and psycholinguistically oriented (ibid: 205). Salevsky’s classification of translation theories roughly corresponds to descriptive translation studies as envisaged by Holmes (cf. 1.1.1.4). Salevsky’s text-based theories would correspond to Holmes’ product-oriented approaches; process-related theories could be equated only partly with Holmes’ process-oriented theories as Salevsky’s emphasis here is on the translational communicative process, whereas Holmes emphasizes the cognitive aspects related to the translator’s mental processes. Thus, Salevsky’s translator-related cognitive theories are already subsumed under Holmes’ process-oriented approaches. And Holmes’ function-oriented theories are not clearly differentiated by Salevsky, who includes them as target-oriented text approaches.

For my purposes in this work, I claim that product-oriented approaches (e.g. Komissarov, Koller, House) have been clearly identified and some consensus exists in relation to their emphasis on studying the equivalence relationship between SLT and TLT. Process-oriented approaches, as evidenced in the above comparison between Salevsky’s and Holmes’ conceptualization, have traditionally focused on the

¹⁴² „Eine allgemeine Übersetzungstheorie muß das allen Übersetzungsprozessen (z. B. der Bibelübersetzung, der literarischen Übersetzung und der Fachübersetzung) Gemeinsame erfassen, mit ihnen in ihrem Wesen verbunden sein. Die Teiltheorien sollten dann auf den Einzelfall anwendbar sein. Ein solches Theoriegebäude existiert in der TW [Translationswissenschaft] noch nicht“. (Salevsky 2002: 202).

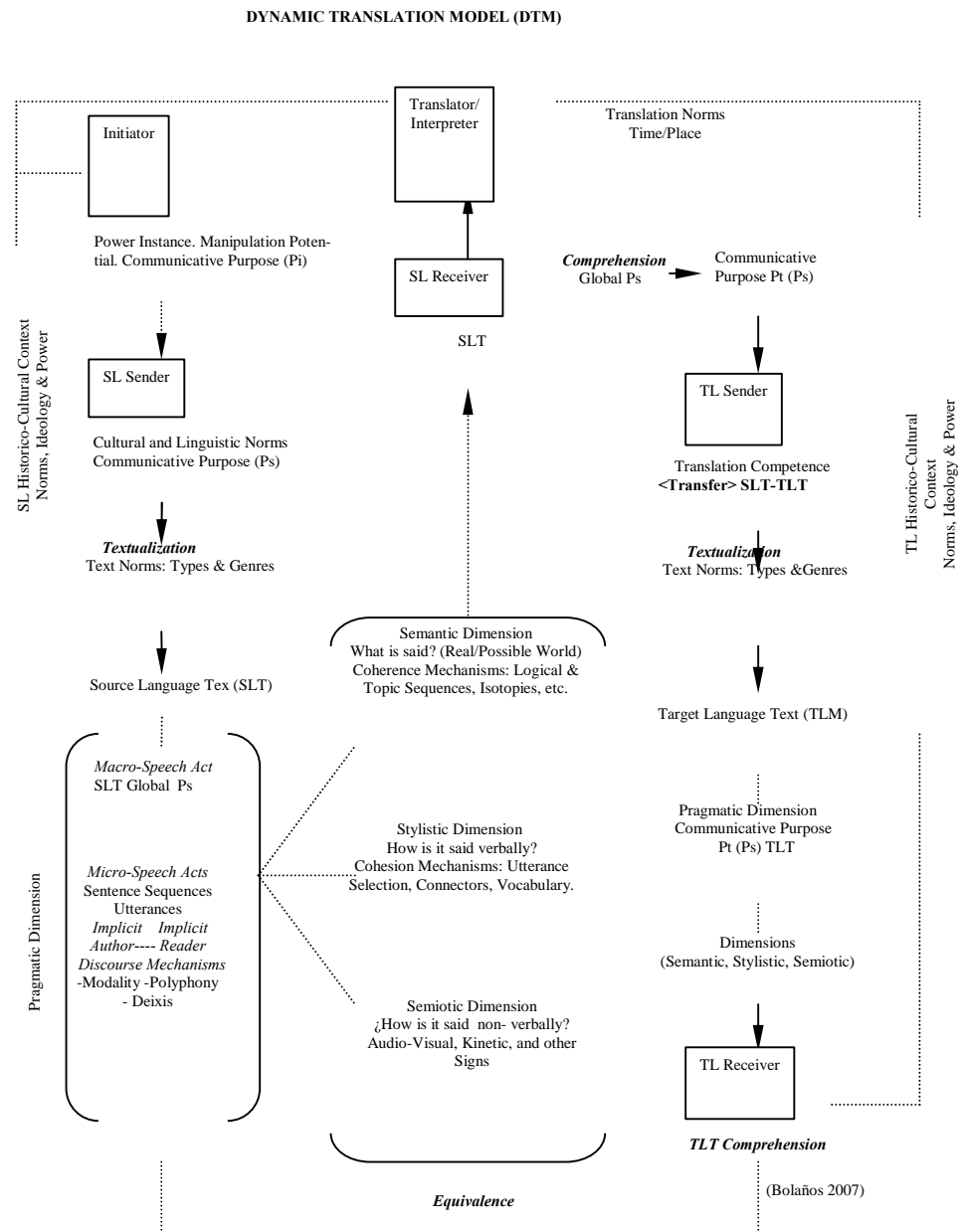
discussion of translation either as a communicative process (e.g. Kade, Reiß, Nord) or as a cognitive process (e.g. Krings, Gerloff, Höning). And both process-related perspectives should be included in an integrated approach. Finally, function-oriented approaches (e.g. Bassnett, Toury, Vermeer) should also be taken into account. Thus, my proposal intends to be a holistic conceptual construct onto which diverse issues related to product-, process-, and function-oriented translation approaches can be projected, and within which they can be interrelated.

Another crucial issue I think should be included in an integrative endeavor is the empirical nature of the methodological insight, i.e., the hypothetical construct or model proposed, as clarified above by Neubert and Shreve, should assert “something about empirical (translational) reality which the researcher intends to prove”. And, additionally, the theoretical proposal should be designed in such a way that its descriptive and explanatory power may allow its subsequent application to practical situations, e.g. in teaching translation and criticizing translated texts.

4.2 Dynamic Translation Model (DTM)

The Dynamic Translation Model (DTM) is dynamic to the extent that it shows the different components of translation as a process, that is to say, it helps us to recognize and to follow the flow of actions carried out by the different participants in the translational process. The first participant that influences the translational process is the Initiator by means of his Translational Instructions that may call for a ‘true’ translation or, say, the adaptation of the original. The Initiator’s intentionality may coincide with or contradict the SL Sender’s intention that has been verbalized in the source language text. The translator receives SLT, weighs the input provided by the Initiator against the author’s intentionality actually verbalized in SLT and proceeds to translate adhering to or rejecting the valid translational norms of the target language. If the translator sticks to the original’s verbalized intention, then he follows the Default Equivalence Position (see below) and produces a translation proper; otherwise he may produce an intertextual product such as a summary, an adaptation or a parody, which is also a possible product but which should not be confused with a

translation *stricto sensu*. Then the text gets to the TL receiver, who assumes that it is a translation proper if no additional information is provided in this respect.



The Dynamic Translation Model (DTM), like any other model, is based on a certain conception of the nature and characteristics of translation. Therefore, I shall begin this section by presenting my view about the defining features of translation.

I understand translation as a historico-culturally-determined bilingual communicative activity which takes place when an SL sender, by himself or on someone else's instructions, produces a text that is received by the translator, an SL receiver who, in turn, produces a TL text which has an equivalent pragmatic value for TL receivers.

Accordingly, this bilingual translational activity is depicted in my proposal of a Dynamic Translation Model (DTM). The dynamic translational activity takes place at three mutually-interconnected levels, from the most abstract and complex to the most readily concrete and apprehensible. The outermost level corresponds to the historico-cultural context of both the Source Language (SL) and the Target Language (TL), where participants (initiator, SL sender, translator, TL receiver) perform their roles in the translational bilingual communicative process by means of a continuous decision-making process which, in the case of the translator's task, is materialized at the text linguistic level. There is also a mutual relationship of progressive inclusion of the lowest level, the text, into the next, the translational communicative process, and both of them into the highest, most all-embracing level, the historico-cultural one.

The product of the translational process is prospectively visible as a whole in the form of the translated text; but once the whole text has been translated some of the decisions made in the translational process can also be 'reconstructed' or 'traced back' retrospectively by a constant comparison of SLT and TLT, in a relationship generally known as 'equivalence'. Besides, the model is dynamic because it allows us to keep track of the flow of translational decisions from the initiator's incipient translational purpose or intention, through the SL sender's text, to the translator as SL receiver and his TL textualization, and finally to the target receiver. DTM is also intended as an integrative construct, a kind of 'map', where textual, communicative, and contextual aspects of translating as a process-, product-, or function-oriented activity can be readily identified, described and, if possible, explained. The model's explanatory power rests on its potential to help locate the different variables affecting the translation process, to understand how they are mutually interconnected, and to discuss which aspects should be moved to the foreground as key factors explaining translators' choices in TL textualization.

In a nutshell, we can say that translating begins with an initiator's intention to commission a translation of a text which has been produced by an SL sender in an SL historico-cultural context according to an SL text typology. The original text (SLT) is organized in four textual dimensions: pragmatic (What is the sender's overall intention?), semantic (What does the text say?), stylistic (How is it said verbally?) and semiotic (How is it said nonverbally?). As an SL receiver, the translator understands SLT, reflects on the initiator's intention with regard to the sender's textualized intention and proceeds to produce a pragmatically equivalent TL text in such a way that it complies not only with the corresponding TL text typology but also with TL receivers' expectations and/or valid cultural criteria (e.g. literary canon) and translational norms (e.g. 'domesticate whenever possible', 'foreignize whenever possible'. 'don't domesticate nor foreignize; stick to what the original says', 'adapt if necessary', etc.).

My conception of translation has been materialized in DTM just as it will be presented in the next sections of this chapter. Three successively-embedded levels are distinguished: historico-cultural context (first level) (4.2.1), translational communicative process (second level) (4.2.2), and textualization (third level) (4.2.3). It is necessary to include the historico-cultural level as the model's first level because we find there the cultural, linguistic and translational norms (4.2.1.1) that help us to determine how a translation *may* or *should* be carried out in order to be recognized as such by the target language community. These norms also determine the way equivalences (4.2.1.2) are established between SLT and TLT. Here I propose the concept of Default Equivalence Position (DEP) to account for the fact that equivalences are based on the linguistic correspondence between SLT and TLT, but also on the fact that the way they are set up is critically determined by the Target Language Valid Translational Norms and the Initiator's Translational Instructions (ITI) (4.2.2.1). The historico-cultural context of Source Language and Target Language not only locates but also determines the way the translational communicative process (second level) takes place. Within this level the different participants in the process are described and their roles explained: initiator (4.2.2.1), author/sender (4.2.2.2), translator (4.2.2.3), and TL receiver (4.2.2.4). Here special emphasis is placed on the role played by the translator who is both an SL receiver and

a TL sender, and on the fact that his translation decisions, reflected in the way equivalences between SLT and TLT are established,, correspond to his linguistic analysis of SLT and TLT as well as to his understanding and acceptance/rejection of TL Valid Translational Norms and the Initiator's Translational Instructions.

Finally, DTM is rounded out with the textualization (third level) where the translator decides how the text is to be translated taking into account SL and TL linguistic systemic and textual typological norms (4.2.3.1) as well as the communicative purpose present in the original that he has identified in the textual pragmatic dimension by following what I have called the Textual Illocutionary Indicators (TII) (4.2.3.2). These TII are recognized linguistically mainly as textual modality markers or hedges, e.g. modal verbs, modal particles, adverbs, etc. If the Default Equivalence Position is followed, no noticeable discrepancies between SLT and TLT will be found in this pragmatic dimension. However, in cases where DEP is not followed and TII are altered, then the distinction between downgraders and upgraders, as proposed by House and Kasper (1981: 166-167), becomes a very useful conceptual tool for dealing with this modality range in equivalences. In the Text Semantic Dimension (4.2.3.3), the emphasis is placed on what is being said in the text, whether it refers to a real or a possible world, as well as on the coherence mechanisms that are activated: logical sequence, topic sequence, isotopies, etc. I propose to include in this semantic dimension the concept of semantic fields and the analysis of their maintenance or alteration between SLT and TLT as they help to ensure the global coherence of the translated text. Other well known translational cases are also dealt with: change of meaning, omissions, additions, change of focalization, change of connectors, lexical specialization or generalization. In the Stylistic Dimension (4.2.3.4) our interest focuses on how the message is said verbally both at the syntactic and lexical levels. Cohesion mechanisms such as utterance selection (simple sentences, subordinate clauses, coordinate clauses, etc), connectors, special vocabulary, etc., are activated in this dimension. For the purposes of the analysis of literary translations, the use of some rhetorical devices such as idiomatic expressions, figures of speech, fictionalizing stylistic devices, and direct and indirect speech, is also accounted for. Finally, the semiotic dimension (4.2.3.5) has been included in order to account for the transfer of non-verbal signs present in the original

(schemes, pictures, graphs, etc.). Generally, these textual semiotic elements are not translated *stricto sensu* but rather simply transcribed from the original. However, it cannot be ruled out beforehand that a case may appear in which some semiotic changes may also be called for. This is a matter to be solved on a case-by-case basis according to the languages, the text types, and the Target Language Valid Translational Norms in effect. It should be pointed out again that the textual pragmatic dimension of the original is the dimension that guides the textualization process in the target language text because it conveys directly the original author's intent present in the form of what I propose to call Textual Illocutionary Indicators (TII) if the Default Equivalence Position (DEP) applies. In the remaining sections of this chapter I will elaborate in more detail on the Dynamic Translation Process, succinctly described above.

4.2.1 First Level: Historico-Cultural Context

It is evident that the SL and TL socio-cultural traditions play a crucial and determining role in the context of the translation process. As discussed in Chapter 1 (cf. 1.1.1.3), these extralinguistic factors were recognized as a pivotal aspect in translating by representatives of the Leipzig School, even though they did not develop them fully in their translational proposal (cf. Kade 1977). In addition, this same point about the importance of contextual factors in translation has been made in some of the culture-and-literature-oriented trends I discussed in Chapter 1. Similarly, in Russian translation studies Komissarov (1999: 69), like several other authors, has pointed out the importance of socio-cultural aspects in the translator's task: "Frequently the influence of socio-cultural factors is reflected in the translator's strategy and in the completeness of reproduction of the original's content in the translated text, which obliges the translator to abridge or to omit completely all that in the target culture is considered unacceptable due to ideological, moral or aesthetic views"¹⁴³ (Komissarov 1999: 69).

¹⁴³ «Социально-культурное влияние на стратегию переводчика нередко отражается и на полноте воспроизведения в переводе содержания оригинала, вынуждая переводчика сокращать или полностью опускать все, что в принимающей культуре считается недопустимым по идеологическим, моральным или эстетическим соображениям». (Komissarov 1999: 69).

In the history of translation studies, at times the role of historico-cultural factors has been overemphasized and some have even alleged the untranslatability of such factors. This view has been convincingly refuted, especially by Mounin (1963/1971), who shows that despite differences in world languages and cultures, certain linguistic and ethnographic universals do exist which allow translation to take place. In the same line, De Waard and Nida (1986: 43-44) claim: "All people share far more similarities than is usually thought to be the case. What binds people together is much greater than what separates them. In adjustments to the physical environment, in the organization of society, in dealing with crucial stages of life (birth, puberty, marriage and death), in elaborate ritual and symbolism, and in a drive for aesthetic expression (whether in decorating masks or in refining poetic forms), people are amazingly alike. Because of all this, translating can be undertaken with the expectation of communicative effectiveness." On his part, Koller (1998: 118) also stresses that it is communicative comprehensibility which allows translation between diverse cultures to take place: "The possibility of understanding is a necessary condition for communication and for interaction at large to be successful. All experience –our *common sense*- supports the view that human beings with quite different linguistic and cultural backgrounds can understand each other (provided they really want to, we should add). Thus, we also have translatability: translation as a special case of comprehensibility."¹⁴⁴

From a pragmatic point of view, Hervey (1998: 10) also points out that "What members of one culture do can be *imagined* by members of other cultures, even if they *do* otherwise. It is to this extent that human communication is 'universal'." And he further elaborates: "Furthermore, in the light of the earlier presumption about human empathy, a qualified universalism would have to stretch to the belief that *illocutionary functions can be comprehended across the most diverse cultural boundaries*. This belief does not, however, extend to supposing that the cross-cultural appraisal of illocutionary functions is *easy*. On the contrary, cultural relativity makes

¹⁴⁴ „Die Möglichkeit des Verstehens ist Voraussetzung des Glückens von Kommunikation und Interaktion überhaupt. Alle Erfahrung –unser *common sense*- spricht dafür, daß Menschen mit ganz unterschiedlichen sprachlichen und kulturellen Hintergrund einander verstehen können (falls sie das wirklich wollen, muß man wohl hinzufügen). Deshalb ist auch Übersetzbarkeit gegeben: Übersetzung als besondere Fall der Herstellung von Verstehenbarkeit“. (Koller 1998: 118).

this a highly sensitive and problematic issue” (ibid: 11; author’s emphasis). In addition, in cross-cultural communication, Hatim (1997) has also shown that despite linguistic differences, specifically between Arabic and English, where “Arabic is a highly explicative language, whereas a language such as English is an example of an intrinsically implicative language” (ibid: xiv), when it comes to the use of rhetorical resources in argumentation, “these are merely preferences, tendencies, trends. For example, Arabic prefers to work through argumentation whereas English orients its rhetorical strategy the other way, towards counter argumentation” (ibid: 173).

The most recent overemphasis on the historico-cultural context of translation is no longer related to the idea of an alleged impossibility of translation, but to a clear denial of translation’s linguistic nature. House (2002: 92) aptly summarizes this situation as follows:

In recent years there has been a shift in translation studies from linguistically oriented approaches to culturally oriented ones. In Germany, Reiß and Vermeer’s (1984) concept of translation and Snell-Hornby’s ideas about the ‘interdiscipline’ of translation (see Snell-Hornby 1986 and most of the contributions therein) clearly show this overall concern with viewing translating less as a linguistic and more, or even exclusively, as a cultural procedure. This view is epitomized in statements such as ‘One does not translate languages but cultures’ and ‘In translation we transfer cultures not languages’. In Anglophone translation studies, a similar paradigm shift is clearly noticeable. How did this shift come about? Translation studies, I would suggest, is here simply following a general trend in humanities and social sciences where contents and methodologies (at least in the so-called First World) have over the past decades been substantially influenced by post-modernist, post-colonial, feminist and other socio-politically motivated schools. Translation is no exception in this regard (see e.g. Venuti 1995, von Flotow 1997), and translation studies’ history of mimicking fashionable trends is here, it seems to me, simply replayed.

As discussed in Chapter 1 (cf. 1.1.2.2), and in line with House’s claim, to acknowledge that translating occurs within a framework of socio-cultural factors does not imply that its linguistic nature can be denied, i.e., there is no question but that the translator performs his task by resorting to his knowledge not only of source and target cultures but also of source and target languages. It is a linguistic activity materialized in linguistic products (translated texts) within a determining socio-cultural context. Therefore, saying that ‘One does not translate languages but

cultures' is evidently a metaphorical expression that cannot be taken at face value. Behind this expression one can also perceive the awkward conception that language is not part of culture and, consequently, is not envisaged as one of the most important human cultural manifestations. However, taking into account the complex nature of language and culture and their multifarious interconnection, while also recognizing the psycholinguistic dimension of language use, we should acknowledge, as Wilss (1992) puts it, that "[not] everything is culturally determined and cultural manifestations are [not] basically linked to any given language."¹⁴⁵

For my purposes in spelling out the characteristics of the socio-cultural context in DTM, I would share Losereit's (2002: 98) view that, cognitively speaking, speakers' linguistic and culture-specific knowledge corresponds to specialized knowledge about *realia* (culture-specific) lexemes which encompass representations in the form of scenes-related knowledge¹⁴⁶. Thus, in linguistic terms, we can say that it is basically at the text lexical level where culture-specific knowledge relevant for translation tasks is expressed. Therefore, as Snell-Hornby (1988: 33) puts it, "A necessary precondition for all translation is knowledge of the socio-cultural background, both of the source culture and the target culture concerned."

It is clear that diverse socio-cultural factors may affect the translation process. If one is interested in studying cultural and other circumstances which actually play a crucial role in translating as it occurs (i.e. in real time), it would be necessary to design a research project that would allow one to keep close track of the whole translation process from the initiator's intention, taking into account not only the translator's communicative purpose (similar or different to that of the initiator's and the original's sender), but also the translator's cognitive processes and the translation's effect on several receivers. This would be an excessively complex endeavor; it seems unlikely that it could be carried out as described, and it would imply the realization of several partial research projects. Another possible research endeavor (function-oriented) would be to analyze the role that the translated text

¹⁴⁵ „Ich glaube nicht, dass alles kulturell determiniert ist und kulturelle Erscheinungen grundsätzlich an eine bestimmte Sprache gebunden sind“. (Wilss 1992).

¹⁴⁶ „Zum sprachkulturspezifischen Wissen gehört zunächst das kulturell geprägte Sach-/Denotatswissen, das Wissen um die sog. Realien-lexeme, wozu auch spezifische Wissensrepräsentationen im Sinne von *scenes* gehören“. (Kupsch-Losereit 2002: 98).

plays in the target community. The model I propose helps us to pursue these two previous approaches (real time process- and function-oriented). However, I will focus here on a product-oriented approach. Thus, in order to apprehend the socio-cultural factors which have affected the translated text, I would focus, as Koller (2002: 47) suggests, on the cultural aspects actually materialized in SLT and TLT wording: “For me it is important that the cultural aspect is always linguistically-textually bound to a concrete text, to an original and a translation.”¹⁴⁷ Thus, I completely endorse Koller’s view with regard to the apprehension of cultural aspects in the textual materialization of translation: “I deal with the problem of culture not from the perspective of a cultural theory; what one understands as ‘cultural’ or as a ‘cultural translation problem’ can only be inferred from the text and it can only be systematized from texts (a corpus). Of course, no previous definition of *culture* is provided, and I do not follow any of the current definitions of *culture* in the terms in which they are presented in introductions to cultural studies”¹⁴⁸ (Koller 2002: 47). I would also subscribe to Gercken’s (1999: 99) claim that the basic point of reference is provided by texts and the contexts which are realized in them. And, even though “linguistic and extralinguistic systemic aspects from SL and TL provide an important background, which contents are to be discussed with regard to the comparison of individual textual elements of SLT and TLT will depend on the corresponding texts and the contexts activated by them.”¹⁴⁹

On the other hand, it is important to point out that there is also a dynamic relationship between SL and TL historico-cultural traditions and, as Hatim (2001: 10) says, “Within critical linguistics, all use of language is seen as reflecting a set of users’ assumptions which are clearly bound up with attitudes, beliefs and value

¹⁴⁷ „Wichtig scheint mir zudem zu sein, daß der kulturelle Aspekt sprachlich-textuell immer am konkreten Text, an Original und Übersetzung, festgemacht wird“. (Koller 2002: 47).

¹⁴⁸ „Dem ‚Kulturproblem‘ nähere ich mich also nicht von einer ‚Kulturtheorie‘ her; was als ‚kulturell‘ oder als ‚kulturelles Übersetzungsproblem‘ verstanden wird, läßt sich nur aus dem Text erschließen und ausgehend von Texten (einem Korpus) systematisieren. Eine vorgängige Definition von *Kultur* wird allerdings nicht gegeben, auch schließe ich mich keiner der gängigen *Kultur*-Definitionen an wie sie etwa in Einführungen in die Kulturwissenschaft referiert werden“. (Koller 2002: 47).

¹⁴⁹ „Texte sowie von ihnen aktualisierten Kontexte stellen die hauptsächliche Bezugsgrundlage, während sprachliche und außersprachliche Systemaspekte unterstützend hinzugezogen werden. Obwohl sprachliche und außersprachliche Systemaspekte der AK und der ZK wichtige Verstehenshintergründe darstellen, hängt es von den jeweiligen Texten und den von ihnen aktualisierten Kontexten ab, um welche Inhalte es beim Vergleich von AT und ZT in bezug auf einzelne textuelle Elemente geht“. (Gercken 1999: 99).

systems. Consequently, *ideology* has been defined as the tacit assumptions, beliefs and value systems which are shared collectively by social groups (Simpson 1993: 5).” For instance, in discussing the monarchical ideological stance as regards reading practices during the English Renaissance, Boutcher (2000: 52) claims that “The ideological policy of the English monarchical, ecclesiastical, and patriarchal state during and after the Reformation was to maintain political and institutional control over individual and group control. Reading, here, encompasses interpretations and translations of the texts of Scripture, the law, and the classical antiquity (in that order of importance). [...] In this light, the King James Bible can be seen as a result of an attempt to remove the signs of the process of independent, controversial reading (which started with Tyndale) from what becomes, relatively, a *neutral* text: the prototype, perhaps, for the fluent modern translation? Until at least 1640, the King James Bible coexisted uncomfortably with a more controversially pointed text –the Geneva Bible (Hill 1993).”

To sum up, I would say that in my proposal I consider that there is a close relationship between historico-cultural contextual factors and their materialization in both SL and TL texts. In order to deal with this complex interaction, I propose a methodological approach in which the point of departure for the discussion emerges as a result of the comparison of the way cultural items have been textualized from SLT to TLT by the translator. And, in order to apprehend the historico-cultural aspects relevant for this translational analysis, I will resort to the notion of cultural, linguistic and translation norms: this will allow me to deal with a variety of issues such as literary-aesthetic canons and values, power-related ideological concerns, and translation canons, which have a rather direct influence on translational practices. Within this framework I will review the key translational concept of equivalence, which links not only SLT to TLT, as traditionally believed, but also both textual realizations to the prevailing cultural and translation norms in SL and TL communities, respectively.

4.2.1.1 Cultural, Linguistic and Translational Norms

The relevance of the socio-cultural context for the discussion of translating (as product-, process-, or function-oriented approaches) in this model can be better apprehended if we examine the relationship between cultural, linguistic and translation norms on the one hand, and their effect on the textualization of both SLT and TLT by the translator, on the other. Here I will focus on the discussion of the concept of norm, while the next section will deal with equivalence, i.e. the SLT and TLT textualization process.

Hermans (2000: 13) provides an insightful perspective as a point of departure for discussing the concept of norm:

A point to stress is that norms are social as well as psychological realities: they involve not just individuals, groups and communities but also power relations. Norms operate in a complex and dynamic social context, which may be a cultural domain, such as the domain of literature. We can think of this context in terms of a 'system' in the sense of systems theory (Toury 1995) or in terms of a 'field of cultural production' in Pierre Bourdieu's sense, or indeed in other terms. What is important is that norms are deeply implicated in the social and cultural life of a community. They involve different and often competing positions and possibilities, they point up various interests and stakes being pursued, defended, coveted, and claimed- and the desire and strategies of both individuals and collectives to further their own ends.

Besides being a social and cultural construct, norms tell us what is considered 'correct' or 'proper' behavior in linguistic usage and translation. "That course of action, it is agreed, *should* therefore be adopted by all who find themselves in that type of situation" (Hermans 2000: 11). Members of a community acquire or learn the norms which are valid in their environment during their process of socialization (ibid: 12). If norms are broken it is likely that social sanctions will be incurred¹⁵⁰. Not all norms have the same binding force and "the institutions or agents who exercise normative control tend to occupy positions of power and dominance in the particular field where the norms apply, or indeed in higher-level fields, i.e. fields closer to the

overreaching center of power in the community” (ibid: 13). An additional characteristic of norms is that they are historically determined, i.e. they change as the individuals’ and communities’ predominant values change, a process which indeed can take a long time to complete. It is also important to stress that several diverse norms may be competing at a given period of time; they can and actually do co-occur. Thus, we can say that the main characteristics of socio-cultural norms in general (being dictated by the powerful instances in the community, displaying a prescriptive force of what is ‘correct’ or ‘proper’ and therefore ‘should’ be done, co-occurring and changing as the community changes its values) also apply to linguistic and translation norms as they are part of the complex network of socio-cultural norms.

Linguistic norms apply at two levels: systemic and textual. At the systemic level, where every linguistic system is considered as a set of possibilities of language realization, there appears the norm which, as Coseriu puts it (1962/1982: 98), “...is what is imposed on the individual, limiting his expressive freedom and compressing all the possibilities the system offers within the framework of traditional realizations.”¹⁵¹ Systemic norms are crucial for translation purposes as they help the translator to identify the ‘traditional’ or ‘usual’ ways of expressing ideas in a language, regardless of the specific text type that is being produced. Knowledge about the systemic norms at the different systemic levels (semantic, syntactic, and pragmatic) is gained through research in contrastive linguistics and more recently in contrastive textology.

For instance, at the semantic-syntactic systemic level, dealing with the topic of informational density, M. Doherty (1996: 452) has been able to establish that “The most relevant feature for the linear distribution of information is the left- and right-peripheral position of verbal heads: respectively, their right- or left-branching extensions in English and Norwegian as opposed to German.” Likewise, she also found that “there is a preference for text connectors, like particles and sentence adverbs, which characterizes German texts as opposed to English and Norwegian

¹⁵⁰ In Toury’s words: “Norms are acquired by the individual during his/her socialization and always imply *sanctions* – actual or potential, negative as well as positive.” (Toury 1995: 55).

¹⁵¹ “Lo que, en realidad, se impone al individuo, limitando su libertad expresiva y comprimiendo las posibilidades ofrecidas por el sistema dentro del marco fijado por las realizaciones tradicionales, es la *norma*”. (Coseriu 1962/1982: 98).

texts” (ibid: 453). In a similar research endeavor, Fabricius-Hansen (1996: 558) reached the conclusion that “German nonfictional prose in its typical form demonstrates a rather high informational density, packing much information into each sentence and/or clause by way of a complex syntactic structure at different levels and relying heavily on accommodation and knowledge-based inference as a means of enriching the information expressed by overt linguistic material”, whereas “Norwegian nonfictional prose has a more ‘horizontal’, linear structure, distributing the discourse information over a sequence of syntactically rather simple sentences with the effect that in the most extreme cases, each sentence mentions and describes one eventuality only.”

In comparing Russian and English word order in relation to the semantic theme (old information)-rheme (new information) sequence, Cernjachovskaja (1977: 89), claims that “In Russian, word order is relatively free; it mainly responds to the need to express the components of the information structure i.e. to order them from theme to rheme. Thus, these components can have any syntactic form. In English, there is also the need to express the components of the information structure, but the sentence word order is fixed exactly.”¹⁵² And, incidentally, reflecting on the usefulness of the concept of theme-rheme for systemic linguistic comparisons, Gaberell (2001: 300) claims that “In addition, the theme-rheme marking is strongly bound to each language and, therefore, this theory is difficult to apply to research in contrastive textology.”¹⁵³ Besides, in terms of the comparison of verb tenses, Zuschlag (2002: 187) points out that “Instead of the German subjunctive, English and French use the indicative form, whose verb tenses are linked to the verb in the main sentence according to the rules of *consecutio temporum*.”¹⁵⁴ Perhaps one of the most comprehensive overall views of what I call here linguistic systemic norms is

¹⁵² „In der russischen Sprache ist die Wortstellung verhältnismäßig frei, sie wird hauptsächlich von der Notwendigkeit diktiert, die Komponenten der Informationsstruktur auszudrücken, d. h. vom Thema zum Rhema hin anzuordnen. Dabei kann die syntaktische Gestaltung dieser Komponenten beliebig sein. Im Englischen besteht auch die Notwendigkeit, die Komponenten der Informationsstruktur auszudrücken, die Wortfolge im Satz liegt jedoch exakt fest“. (Cernjachovskaja 1977: 89).

¹⁵³ „Außerdem ist die Markierung von Thema und Rhema stark einzelsprachlich gebunden und die Theorie damit im Hinblick auf kontrastive Textuntersuchungen schwer anwendbar“. (Gaberell 2001: 300).

¹⁵⁴ „Anstelle des deutschen Konjunktivs stehen im Englischen und im Französischen Indikativformen, deren Tempora durch die Regeln der *Cosecutio temporum* an das Verb im Hauptsatz gebunden sind“. (Zuschlag 2002: 187).

presented by Nida and Taber (1969/1982: 112-119), who discuss linguistic divergences as to discourse structure and sentence structure: word and phrase order; double negatives; gender, class, and number concord; active and passive constructions; coordination and subordination; apposition; ellipsis; specification of relationship; word structure; aspects; tenses; inclusive vs. exclusive first person plural; honorifics.

This brief review of some of the findings in the field of linguistic systemic norms shows us that translators can use this very important information when making decisions about how to express things according to the specific nature of each language. Unfortunately, due to the prescriptive approach adopted by early research in contrastive linguistics in the 60s and 70s, this type of investigation fell into discredit. Nowadays it is widely recognized that what we translate are texts, but it is also sometimes forgotten that texts are realizations of languages, so that both levels, the systemic and the textual, are activated cognitively by the translator in the translation process and, therefore, should be studied accordingly. For instance, Shveitser (1988: 46) only acknowledges the existence of textual (SLT and TLT) norms and translation norms. SL and TL systemic norms are not taken into consideration: “In translation practice three types of translation norms reflecting the traditions of a given society and a given culture intertwine: 1) norms to construct texts in the source language, 2) norms to construct texts in the target language, and 3) translation norms.”¹⁵⁵ In this proposal, the textual norms correspond basically to the text typology, a topic that will be developed later on in this chapter (cf. 4.2.3.1).

Thus, it is my view that translational norms are made up of linguistic norms and nonlinguistic or cultural canons. Linguistic norms, in turn, comprise systemic and textual typological norms. Cultural canons contain aesthetic-literary, religious, ideological canons, and translational canons (‘domesticate as much as possible’, ‘foreignize as much as possible’, ‘embellish as much as possible’, ‘avoid profanity at all costs’, ‘respect the original’s content and form’, ‘adapt partially’, etc).

Between linguistic norms and nonlinguistic cultural canons there appears to exist a relationship of dependence: the realization of linguistic (systemic and textual)

means in the translated text depends on the nonlinguistic norm which is perceived as valid by the translator in order to fulfil the translation commissioner's/initiator's communicative purpose at any given time.

One of the best-known proposals about translational norms was developed by Toury (1995). Even though he does not consider translational norms as I do, i.e. as a general set of translational norms, a subset of which corresponds to linguistic (textual and systemic) norms -a lack of *unité de doctrine* already pointed out by Koller (1997: 81)¹⁵⁶- it is worth discussing Toury's views. He distinguishes initially two types of norms: preliminary and operational. Preliminary norms have to do with translation policy, "those factors that govern the choice of text-types, or even of individual texts, to be imported through translation into a particular culture/language at a particular point in time" (ibid: 58), and also with directness of translation, i.e. "the threshold of tolerance for translating from languages other than the ultimate source language: is indirect translation permitted at all?" (ibid). Operational norms, "in turn, may be conceived as directing the decisions made during the act of translation itself" (ibid). They are divided into matricial norms, which "may govern the very *existence* of target-language material intended as a substitute for the corresponding source language material (and hence the degree of *fullness* of translation), its location in the text (or the form or actual *distribution*), as well as the textual *segmentation*" (ibid: 59), and textual linguistic norms, which "govern the selection of material to formulate the target text in, or replace the original textual and linguistic material with" (ibid). Despite the fact that Toury acknowledges that translational norms are instable, change diachronically and co-exist synchronically, in his proposal he downplays the role played by powerful agencies in the establishment of translational norms. For him, "the relative role of different agents in the overall dynamics of translational norms is still largely a matter of conjecture even for times past, and much more research is needed to clarify it" (ibid: 62). And talking about the "norm-setting activities of institutes where, in many societies, translators now are being trained", he

¹⁵⁵ «В практике перевода сталкиваются три типа социальных норм, отражающих традиции данного общества и данной культуры: 1) нормы построения текста на исходном языке, 2) нормы построения текста на языке перевода и 3) нормы перевода». (Shveitser 1988: 32).

¹⁵⁶ „Bei einer weitgefächerten Wissenschaft wie es Übersetzungswissenschaft, translation studies, translologie usw. sind, ist allerdings nicht anzunehmen, daß es bezüglich die Übersetzungsnorm(en) und der Normativität bei der Gegenstandbestimmung eine *unité de doctrine* gibt“. (Koller 1997: 81).

claims that “wittingly or unwittingly, they all try to interfere with the ‘natural’ course of events and to divert it according to their own preferences” (ibid). As discussed in Chapter 2 (cf. 2.1.1), Toury’s general translational approach is permeated by a deterministic view which emerges again in his proposal about translational norms. Unlike Toury, I consider that there is no ‘natural’ course of events in translational behavior and that even if the agency of translational norms is not easily apprehensible and subject to research, it cannot be denied that a human intentional and manipulative agency is constantly at work. Systems within a socio-cultural context are not isolated entities which function beyond or without human intervention and participation, with some immanent powerful center and a less powerful periphery around it -to use a familiar terminology in DTS.

In my proposal, then, translational norms are understood as patterns for translational behavior which are established by diverse powerful instances in the socio-historical context of TL communities, change constantly as communities’ values do, and are enforced linguistically by telling translators how to produce texts which are not only systemically correct (according to what is permitted in a given language), and text typologically appropriate (according to existing text types, modifying and/or introducing new text types), but above all translationally appropriate (according to valid conceptions about what the different translation text types should be: faithful to the original’s form and content, to its form, to its content, to its overall ‘motive’; overall domesticating, overall foreignizing, domesticating and foreignizing; adapting, summarizing, paraphrasing, etc.).

This conception of translational norms would help to explain the fact that diverse and mutually-exclusive translation norms have prevailed throughout the history of translation. For instance, as Robinson (2000: 15) claims, “For ancient Rome, translation was strict, slavish literalism; any liberties the rewriter might be inclined to take with the source text were by definition beyond the limits of translation.” Talking about the age of the so-called *belles infidèles*, especially in France during the seventeenth century, Albrecht (1998: 76) considers that “domesticating translation as a cultural norm prevailed, a trend only a few dared to evade”, whereas during the Age of Romanticism, “foreignizing translation began to be seen as a highly welcome possibility to help the reader to overcome the linguistic

barrier, but at the same time without depriving him of ‘the foreign’ which usually emerges when contact is made with a different culture.”¹⁵⁷

From another perspective, the aesthetic-literary canon is a cultural aspect of translational norms which, historically speaking, has also been crucial for establishing how literary works *should* be translated and how those translation products *should* be judged. For instance, in line with Albrecht’s views, Hale (2000: 71) also sees at work what we call here the literary canon, when “In common with 18th-c. practice, passages considered too ‘warm’ or too ‘sensuous’ were often toned down. Rarely were plot structures or settings subject to manipulation in narrative fiction. Indeed, if anything, translations of narrative fiction deliberately maintained a suggestion of cultural difference. The opening chapter of version of *The Mysteries of Paris* published by Chapman and Hall in 1845, for example, is entitled *The Tapis-franc*, even though the term requires footnote explication.” In addition, according to Levý (1969: 28), translation criticism is only possible because there are norms: “Without norms, no criticism would be possible. Translation criticism and the analysis of the theoretical issues of this literary genre begin necessarily from a clear conception about what a translation should be.”¹⁵⁸ This historical determination of translation norms for both producing and judging literary works is what Eco (2003: 274) calls ‘translation horizon’: “All translation (and this is why translations age) moves in a translation horizon and in literary conventions which inevitably influence the choices of taste.”¹⁵⁹

At present, Shveitser (1988: 176) postulates the existence of a general translation norm: “The modern norm of translation differentiates itself by its great severity, a clearer orientation towards recreation of the original which reflects the

¹⁵⁷ „In der Epoche der *belles infidèles*, die im Mitte des 17. Jahrhunderts in Frankreich ihren ersten Höhepunkt hatte, herrschte die einbürgende Übersetzung als eine kulturelle Norm vor, der sich nur wenige zu entziehen wagten. [...] In der Zeit der Romantik [...] begann man im verfremdenden Übersetzen eine hochwillkommene Möglichkeit zu sehen, dem Leser über die Sprachbarriere hinwegzuhelfen, ohne ihm dabei gleichzeitig das ‘Befremden’ zu ersparen, das jede Begegnung mit einer der andersartigen Kultur auszulösen pflegt“. (Albrecht 1998: 76).

¹⁵⁸ „Ohne Norm wäre keine Kritik möglich. Die Kritik der Übersetzung und die Analyse der theoretischen Fragen dieser Literaturgattung gehen notwendig von einer bestimmten Vorstellung aus, was eine Übersetzung sein solle“. (Levý 1969: 28).

¹⁵⁹ “Ogni traduzione (e per questo le traduzioni invecchiano) si muove in un orizzonte di traduzione e convenzioni litterarie che fatalmente influenzano le scelte di gusto“. (Eco 2003: 274).

author's communicative intention.”¹⁶⁰ Pym (2000: 132) summarizes the situation of translation norms in the second half of the twentieth century as follows: “More and more translators are academics, or from academic backgrounds; they tend to be intimately concerned with the linguistic qualities of their originals as well as with effects within the target culture; and translations are more frequently discussed and evaluated as translations, in terms of fidelity or openness to their source text rather than inventiveness or acceptability within their target literature.” And specifically with regard to translations into English, he sees a norm favoring the use of an international variety: “Translations into English have tended to be in a language that is less specific, more international, than most works originally written in English. Translations for children, to cite a prime example, rarely have a flavour of regional English (although all childhoods are original), simply because translators and publishers set out to address many regions at once” (ibid: 77). Unlike Venuti, who considers that in modern translations into English almost exclusively a norm favoring fluency is valid, Pym thinks that in fact this is one modern translational norm among others, but that another norm favoring visibility of the source culture is also at work (ibid: 78). This would corroborate one of the characteristics I included in my definition of translational norms, according to which two or more norms can actually co-exist during the same period of history: a fact that had also been recognized by Holmes (1988a) (cf. 3.5), when he claimed that the organic mode of translating poetry co-existed with the form-derivative and the content-derivative modes.

In terms of the operationalization of the concept of translational norms, i.e. how the notion can actually be used for applied research purposes, I agree with Toury's (1995: 65) proposal of a textual and a contextual approach:

- 1) *textual*: the translated texts themselves, for all kinds of norms, as well as analytical inventories of translations (i.e., ‘virtual’ texts), for various preliminary norms;
- 2) *extratextual*: semi-theoretical or critical formulations, such as prescriptive ‘theories’ of translation, statements made by translators, editors, publishers, and other persons involved in or connected with the activity, critical appraisals of individual translations, or the activity of a translator or ‘school’ of translators, and so forth.

¹⁶⁰ «Современная норма перевода отличается большей строгостью, более четкой ориентацией на воспроизведение текста, выражающего коммуникативную интенцию автора». (Shveitser

I also agree with Toury's claim that "Texts are *primary* products of norm-regulated behaviour, and can therefore be taken as immediate representations thereof." But I disagree with his statement that "normative pronouncements, by contrast, are merely *by-products* of the existence and activity of norms" (ibid), in the sense that 'normative pronouncements' are not simply 'by-products': in cases where they are the pronouncements of a powerful cultural instance, it is very likely that they will affect the way translations are carried out, i.e. they can also have –and in fact do have– an 'active', agency-related role. Thus, I also strongly disagree with Toury's claim that "the cumulative findings of descriptive studies should make it possible to formulate a series of coherent *laws* which would state the inherent relations between all variables found to be relevant to translation [...] the formulation of these laws may be taken to constitute the ultimate goal of the discipline in its theoretical facet" (ibid: 16; author's emphasis). Translation studies, as discussed in Chapter 1 (cf. 1.1.1.5), can be considered as an empirical *human* science, not as an empirical *non-human* science striving to formulate 'laws' which predict the behavior of non-human entities (e.g. physics, chemistry, etc.).

Translational norms are realized or materialized in translated texts. How can we describe them? By studying translational trends or tendencies displayed in the translated text which reflect the translator's translational behaviour, sometimes referred to as 'method' or 'strategy' (according to prevailing translational norms dictated by powerful agents in his community or influenced by his own beliefs). For instance, in the case of literary translation, Levý (1969: 25) points out that "A translator is an author of his time and his nation. His poetics can be studied as an example of the differences in the literary development of two peoples, of the differences of the poetics of two ages. And, finally, one can study the method of the translator behind the work as an expression of a given translation norm, of a given attitude towards translation."¹⁶¹ The proposed method for discovering these trends in translational behavior, not only in literary texts but also in any text type, is to

1988: 176).

¹⁶¹ „Der Übersetzer ist ein Autor seiner Zeit und seiner Nation. Seine Poetik kann man als Beispiel für die Unterschiede in der literarischen Entwicklung zweier Völker, für die Unterschiede der Poetiken zweier Zeitepochen untersuchen. Und schließlich kann man hinter dem Werk die Methode des Übersetzers als Ausdruck einer bestimmten Übersetzungsnorm suchen, einer bestimmten Einstellung zum Übersetzen“. (Levý 1969: 25).

compare SLT and TLT. When this comparison is carried out, it is immediately evident that some strong relationship links both texts. This strong relationship between SLT and TLT is what has traditionally been studied under the rubric of *equivalence*, a topic to which I devote the next section in this chapter.

4.2.1.2 Equivalence

In Chapter 1 I discussed some of the most important epistemological tenets of linguistically-oriented translation studies: linguistic and extralinguistic factors (cf. 1.1.1.3), linguistic translation studies within Holmes' DTS (cf. 1.1.1.4), the scientific status of empirical linguistic translation studies (cf. 1.1.1.5), and the criticism related to the empirical nature of translatology (cf. 1.1.2.1) as well as the linguistic nature of translation (cf. 1.1.2.2). At the conceptual level, a key notion which has permeated all linguistic approaches is the notion of 'equivalence'. In Snell-Hornby's (1988: 16) terms: "What all the linguistically-oriented schools of translation theory have in common however, is the central concept of translation equivalence (German *Äquivalenz*), which shifted the focus of translation theory away from the traditional dichotomy of 'faithful' or 'free' to a presupposed interlingual *tertium comparationis*." In fact, linguistically-oriented translation scholars from the time of the Leipzig school onwards (Kade, Jäger, Albrecht, Fedorov, Wilss, Shveitser, Komissarov, Koller, House, Hatim, etc.) have openly recognized the value and importance of the concept of equivalence for the constitution of translation studies itself as a scientific, empirically-oriented, discipline.

Within my own holistic approach, I agree with House's (1997: 25) claim that "the notion of equivalence is the conceptual basis of translation."¹⁶² Equivalence is the key concept that helps us to understand what happens in translation as a product-, process-, or function-oriented research activity, in Holmes' terms (cf. 1.1.1.4). From a product-oriented viewpoint, it is clear that there is an equivalence relationship obtaining between SLT and TLT, which the scholar attempts to trace back to its source in order to analyze the linguistic translational behavior. In process-oriented

¹⁶² In the same line, Hatim (2001: 29), discussing Koller's approach, says that "It is *Äquivalenz* which is taken to be the real object of inquiry in translation studies. This is an important qualification."

endeavors which seek to apprehend what happens either in the communicative and/or in the cognitive processes of translating, as Wilss (1981: 10) claims, “translation theory should [...] develop a model based on the concept of translational equivalence because only such a model allows for a complete description of the translation process and an objective assessment of the quality of a translation.”¹⁶³ Or, in Komissarov’s terms: “The degree of equivalence can be established quite objectively by comparing the translated text with the original and this is one of the criteria suitable for judging the result of the translational process.”¹⁶⁴ In other words, when a translation is being done, equivalences are being established according to the parameters derived from the interaction between the participants in the translation communicative process, and these equivalences are actually established by the translator who uses his cognitive endowment as he sees fit and necessary in order to solve the different translation problems he encounters. In a function-oriented approach, it is also clear that the function the translated text fulfils in the target community will be somehow linked to the way the text has been translated (‘foreignizing’, ‘domesticating’, ‘embellishing’, etc.); only by comparing SLT and TLT equivalences is it possible to identify objectively which mode of translation has been used.

Generally, the function of a translation is closely linked to the translational norm valid in the target community, and this norm comprises, as seen above, a linguistic (systemic and textual) component which cannot be simply or completely obliterated. Thus, at some point, even the most recalcitrant anti-linguistically-oriented approaches will have to resort to some kind of assessment of the linguistic nature of the translated text, ideally also taking into account the original. Thus, as Thome (1990: 3) claims: “Consciously or unconsciously, willingly or unwillingly, when dealing with translation-related problems, one has to deal simultaneously with the

¹⁶³ „Die Übersetzungstheorie muß daher, [...] eine übersetzungsprozessuales Modell auf der Grundlage der Übersetzungsäquivalenz [...] entwickeln, weil nur ein solches Modell eine vollständige Beschreibung des Übersetzungsprozesses und eine objektive Beurteilung der Qualität einer Übersetzung ermöglicht“. (Wilss 1981: 10).

¹⁶⁴ «Степень эквивалентности может быть достаточно объективно определена путем сопоставления текста перевода с оригиналом, и она служит одним из критериев оценки результатов переводческого процесса». (Komissarov 1999: 113).

underlying conception of equivalence.”¹⁶⁵ Or, as Eco (2003: 25) puts it: “The problem not only of the dictionary, but of this book and of all translation studies is what is meant by *giving the equivalent*.”¹⁶⁶

In the remainder of this section, and at the risk of dealing further with a notion “that has probably cost the lives of more trees than any other in translation studies” (Fawcett 1997: 46), I will discuss the misunderstanding according to which in translation studies equivalence has the same meaning as in mathematics; I will also consider some of the best-known proposals about equivalence, the criticism that has been voiced against these approaches, and my own proposal.

4.2.1.2.1 Translational Equivalence: A Mathematical Concept?

As in the case of the criticism concerning linguistic empirically-oriented approaches (cf. 1.1.2), most of the criticism against the concept of equivalence can be traced back to the way the concept was discussed in the Leipzig school of translation. Thus, for instance, when Jäger (1989: 33) talks about the need to deal scientifically with this concept, it is clear that, as he is dealing with machine translation, he may have had in mind a math-like notion of equivalence:

Against the background of modern theoretical conceptions on translation, which seek a holistic understanding of the text within the linguistic exchange, there arises inevitably the question of whether, in general, research aimed at the discovery and description of equivalence relations is meaningful. Undoubtedly we would answer this question in the affirmative and here we have in mind an especially demanding test case for the science of translation: automatic [machine] translation.¹⁶⁷

¹⁶⁵ „Bewußt oder unbewußt, gewollt oder ungewollt, reflektiert jede Beschäftigung mit übersetzungsbezogenen Problemen zugleich auch die dahinstehende Auffassung von Äquivalenz“. (Thome 1990: 3).

¹⁶⁶ “Il problema, non solo del dizionario ma di questo libro e di tutta la traduttologia, è che cosa significhi *dare l'equivalente*”. (Eco 2003: 25).

¹⁶⁷ „Auf dem Hintergrund der modernen übersetzungstheoretischen Konzeptionen, die darauf abzielen, den Text in der Sprachmittlung ganzheitlich zu erfassen, entsteht zwangsläufig die Frage, ob die auf die Aufdeckung und Beschreibung von Äquivalenzbeziehungen gerichteten Untersuchungen überhaupt einen Sinn haben. Wir würden diese Frage unbedingt positiv beantworten und haben dabei einen besonders anspruchsvollen Bewährungsfall der Übersetzungswissenschaft vor Augen: das automatische Übersetzen.“ (Jäger 1989: 33).

Koller (2000: 13) also points out that within the linguistic-descriptive translatology, oriented towards the comparison of two linguistic systems (cf. Kade 1968), equivalence was a concept allowing a description of SL and TL units which took into account their regularities at the syntactic, lexical-semantic, stylistic and pragmatic levels¹⁶⁸. Likewise, Koller disagrees with the opinion expressed by Wilss (1977a: 159) according to which the term equivalence has been taken from mathematical language, and he suggests instead that “the [German] terms *Äquivalenz/das Äquivalent/äquivalent* have not been carried over into the special terminology of translation theory from specialized mathematical language, but from general language as well as from contrastive linguistics”¹⁶⁹ (ibid: 12).

House (1997: 26) maintains that “the attack against the concept of ‘equivalence’ in the field of translation studies has a slightly dated touch: definitions of equivalence based on formal, syntactic and lexical similarities alone have actually been criticized for a long time, and it has long been recognized that such narrow views of equivalence fail to recognize that two linguistic units in two different languages may be ambiguous in multiple ways. Formal definitions of equivalence have further been revealed as deficient in that they cannot explain appropriate use in communication. This is why functional, communicative or pragmatic equivalence have been accredited concepts in contrastive linguistics for a very long time, focusing as they do on language use rather than structure”. House’s claim shows that even if there was an initial stage (very likely in the Leipzig school as seen above) in which ‘formal’ equivalences were moved into the foreground, for some time now the ‘communicative’ or ‘pragmatic’ views of equivalence have prevailed.

Therefore, it is very important to stress that equivalence in translation studies long ceased to be considered a notion akin to the mathematical concept, precisely because: 1) there is no total, math-like, complete or absolute equivalence, in the sense that *all* that is in A should also be in B; and 2) translational equivalence does not

¹⁶⁸ „Insbesondere die linguistisch-deskriptive, sprachpaarorientierte Übersetzungswissenschaft basiert auf einer Konzeption von Äquivalenz, die es erlaubt, die Beziehungen zwischen ZS- und AS-Einheiten unter dem Aspekt der Regelmässigkeit (oder gar Gesetzmässigkeit, vgl. Kade 1968) zu beschreiben: Regelmässigkeiten auf der syntaktischen, lexikalisch-semanticen, stilistischen und pragmatischen Ebene“. (Koller 2000: 13).

mean ‘identity’ or ‘sameness’ but ‘same value’. As to the first point, for instance, Holmes (1988c: 53) seems to be thinking about this math-like concept of equivalence, without mentioning any specific source, i.e. an author who might have actually defined ‘equivalence’ in this way, when he says that “Nowadays, after a generation of New Math in the schools, your average schoolchild needs only a drop of the figurative hat to list the qualities of an equivalence relationship. ‘symmetrical, reflexive, and transitive’.” And he adds, with regard to the second point, that “‘equivalence’, like ‘sameness’ is asking too much” (ibid). Thus, instead of the term ‘equivalence’ he proposes ‘counterparts’ or ‘matchings’ (ibid: 54), a couple of terms which do not seem to cover a different semantic reality from ‘equivalence’, as I understand this concept.

These two characteristics of my view of equivalence (1 and 2 above) coincide with the stance of other authors. For instance, as to the totality of equivalence, Albrecht (1990: 74) clarifies that “equivalence is a relative concept; ‘absolute equivalence’, whose impossibility is always being alledged by opponents of the concept of equivalence, is a *contradictio in adiecto*.”¹⁷⁰ With regard to the point of ‘sameness’, elsewhere Albrecht (1998: 264) also maintains that “equivalence does not mean ‘sameness’ but ‘same value’.” Likewise, Albrecht clarifies that “anyone who -as often happens- believes that complete equivalence is never to be achieved in translation, understands by this concept what one generally calls ‘invariance’” (ibid). Of course, ‘invariance’ is also reminiscent of a mathematical concept or of a concept in the so-called exact sciences. Gallagher (1998: 2) has also pointed in the same direction: “In the practice of translation we usually are not dealing with relationships of identity but of similarity. The latter can be established both at the level of content and at the formal-aesthetic level.”¹⁷¹

¹⁶⁹ „Es spricht vieles dafür, dass die Termini *Äquivalenz/das Äquivalent/äquivalent* nicht aus der mathematischen Fachsprache, sondern aus der Allgemeinsprache in die Fachterminologie von Übersetzungstheorie wie auch kontrastiver Linguistik übernommen worden sind“. (Koller 2000: 12)

¹⁷⁰ „Äquivalenz ist also ein relativer Begriff; die ‚absolute Äquivalenz‘, auf deren Unmöglichkeit die Gegner des Äquivalenzbegriffs immer hinweisen, ist eine *contradictio in adiecto*“. (Albrecht 1990: 74).

¹⁷¹ „In der Übersetzungspraxis haben wir es in aller Regel nicht mit Identitätsbeziehungen, sondern mit Ähnlichkeitsbeziehungen zu tun. Ähnlichkeitsbeziehungen können sowohl auf der Inhaltsebene als auch auf der formal-ästhetischen Ebene hergestellt werden“. (Gallagher 1998: 2).

This misunderstanding of the concept of equivalence is also present in Snell-Hornby's (1986/1994: 15) discussion of the concept. After having compared the meaning of "equivalence" in English and German, which the author considers as "non-equivalent", she refers to the illusion of equivalence in the following terms: "[...] Altogether, one should ask oneself whether *Äquivalenz* or *equivalence* are suitable terms in the science of translation: on the one hand *Äquivalenz* –as a scientifically-fixed constant for a given goal- is too static and one-dimensional, and on the other hand *equivalence* has been so watered down as to lose all meaning. Equivalence itself is not equivalent, although it mimics similarity: the borrowing from the exact sciences has turned out to be an illusion."¹⁷²

House (1997: 26) comments on the argument presented by Snell-Hornby for turning down the notion of equivalence and says that 'equivalence' in translation studies has nothing to do with 'identity', as Snell-Hornby claims after looking up the word in German and English dictionaries. House also

found the following dictionary entries for 'equivalent' and 'equivalence' in [her] own dictionary searches: 'having the same value, purpose... etc. as a person or thing of a different kind (Longman Dictionary of Contemporary English 1995), and 'having the same relative position or function; corresponding...' (Shorter Oxford English Dictionary 1993), as well as 'equivalence is something that has the same use or function as something else' (Collins Cobuild 1987). And in German, too, 'Äquivalenz' is not only a term in the 'exakte Wissenschaften' as Snell-Hornby claims: in my Brockhaus I read: 'das was in gewissen Fällen gleiche Wirkung hervorzubringen vermag'. Such entries were not mentioned by Snell-Hornby as they would clearly not serve her purpose of discrediting the concept of equivalence in translation studies.

Thus, I also subscribe to Neubert and Shreve's (1992: 143) view, according to which "we are not stubbornly committed to the term *equivalence*. A call to abandon the term, however, should be based on more than etymological considerations (Snell-Hornby 1988). No other useful term has been offered in its place."

¹⁷² „[...] Insgesamt muss man sich fragen, ob *Äquivalenz* bzw. *Equivalence* als übersetzungswissenschaftliche Termini tauglich sind einerseits ist *Äquivalenz* –als eine für einen bestimmten Zweck wissenschaftlich fixierte Konstante- zu statisch und eindimensional geraten, und andererseits ist *equivalence* bis zur Bedeutungslosigkeit verwässert worden. Selbst die *Äquivalenz* ist nicht äquivalent, obwohl sie Ähnlichkeit vortäuscht: die Entlehnung aus den exakten Wissenschaften hat sich als Illusion erwiesen“ (Snell-Hornby's 1986/1994: 15).

To sum up, we can say that the fact that translational equivalence has been wrongly understood by the opponents of this concept as being ‘absolute, ‘identical’, or ‘the same’ -and this is the meaning this concept has traditionally been given in the so-called exact sciences- does not oblige us to maintain this very same meaning when using the notion of equivalence in translation theory. In this case equivalence has more to do with ‘having the same use or function as something else’. This modern pragmatic or functional approach to the concept of equivalence opens up a new perspective for the discussion of this concept, as we will see below. Besides, to think of equivalence in terms of complete ‘identity’ (e.g. as in mathematics) would be linguistically rather naïve, to say the least, because languages are by definition different and complex linguistic systems and, moreover, translation takes place not only at the linguistic SL and TL systemic and textual levels but also within complex SL and TL historico-cultural contexts where relationships between them, albeit clearly not ‘identities’, can be established.

4.2.1.2.2 Different Equivalence Approaches

Munday (2001) traces back the problem of equivalence in translation studies to Jakobson’s seminal work ‘On linguistic aspects of translation’ (1959/2000), where “the problem of meaning and equivalence thus focuses on differences in structure and terminology of languages rather than on any inability of one language to render a message that has been written in another verbal language” (ibid: 37). And, as Jakobson puts it, “Languages differ essentially in what they *must* convey and not in what they *may* convey” (ibid: 116). However, we can say that Jakobson does not develop any elaborate conceptual framework to discuss the issue of translational equivalence.

The concept of equivalence was taken up later by Bible translator, linguist, and translation scholar Nida (1964), who introduced the well-known distinction between formal and dynamic equivalence. For Nida, “Formal equivalence focuses attention on the message itself, in both form and content [...] One is concerned that the message in the receptor language should match as closely as possible the different elements in the source language” (ibid: 159). Thus, in formal equivalence the

parameter to be taken into account is the form and content of SL. On the other hand, “dynamic equivalence is therefore to be defined in terms of the degree to which the receptors of the message in the receptor language respond to it in substantially the same manner as the receptors in the source language” (Nida 1969/1982: 24). Nida clearly favors the use of dynamic translation because “a translation of the Bible must not only provide information which people can understand but must present the message in such a way that people can feel its relevance (the expressive element in communication) and can then respond to it in action (imperative function)” (ibid). Therefore, whereas formal equivalence focuses on SLT, dynamic equivalence centers on the communicative effect on TL receivers.

As Munday (2001: 42) points out, Nida’s principle of equivalent effect and the concept of equivalence have been widely criticized: “Lefevere (1993: 7) feels that equivalence is still overly concerned with the word level, while van den Broek (1978: 40) and Larose (1989: 78) consider equivalent effect or response to be impossible (how is the ‘effect’ to be measured and on whom? How can a text possibly have the same effect and elicit the same response in two different cultures and times?)”. Besides the two problems mentioned above, as I see it, another essential issue in Nida’s approach is that he subsumes under ‘formal’ equivalence phenomena related not only to the form of the message but also to its content. The immediate consequence of this is that ‘formal’ and ‘dynamic’ equivalences are seen as binary opposites in an either/or relationship with no possibility of any interrelation.

For Munday, Nida had a strong influence on subsequent authors such as Newmark and Koller. Newmark (1981: 39) proposed to distinguish between communicative and semantic translation which he characterized as follows: “Communicative translation attempts to produce on its readers an effect as close as possible to that obtained on the readers of the original. Semantic translation attempts to render, as closely as the semantic and syntactic structures of the second language allow, the exact contextual meaning of the original.” A clear similarity can be seen between Nida’s and Newmark’s proposals, even though, as Munday says, “Newmark distances himself from the full principle of equivalence effect” (ibid: 44). However, as I pointed out in the case of Nida’s distinction between formal and dynamic equivalence, in Newmark’s case we also find the same dichotomous idea that

translation can be *either* semantic (close to Nida's formal equivalence) *or* communicative (close to Nida's dynamic equivalence), and, consequently, it is almost impossible to link these two types of translation in one integrated proposal.

Perhaps the author who has developed one of the most interesting and useful insights into the notion of equivalence is Werner Koller (1978, 1992, 1993, 2000). First of all, unlike the authors of the Leipzig school, he places the problem of equivalence in the sphere of *la parole* and not *la langue*:

What is translated are utterances and texts; the translator establishes equivalence between SL-utterances/texts and TL-utterances/texts (SL=Source Language, TL=Target Language), not between structures and sentences of two languages. (1978: 76)¹⁷³

This is an important distinction because it distances Koller's approach to translational equivalence from the traditional bilingual analysis in contrastive linguistics where only the language systems, but not their realizations in texts, were accounted for. Nowadays, as discussed above, we would say that both linguistic systemic and textual norms are activated in translating.

The concept of equivalence is a crucial notion for determining the empirical nature of translation from a product-oriented perspective, for "as an *empirical* science the science of translation should say what relationship should exist between Source Language Texts and Target Language Texts, so that the latter, as translations, are considered its subject-matter."¹⁷⁴ (Koller 1993: 50). Thus, according to Koller: "The *equivalence relationship* (translation relationship) between the Target Text and the Source Text is considered the *element constitutive of a translation*" (ibid).¹⁷⁵

Besides having established some of the main characteristics of the concept of equivalence (linking SLT and TLT, and being essential for an empirically-oriented translational discipline), Koller (2000: 21) introduces a further distinction which I

¹⁷³ „Übersetzt werden immer Äusserungen und Texte, der Übersetzer stellt Äquivalenz her zwischen AS-Äusserungen/Texten und ZP-Äusserungen/Texten (AS=Ausgangssprache, ZS=Zielsprache), nicht zwischen Strukturen und Sätzen zweier Sprachen.“ (Koller 1978: 76).

¹⁷⁴ „Als *empirische* Wissenschaft muß die Übersetzung angeben können, welche Beziehung zwischen ausgangssprachlichen Texten und zielsprachlichen Texten bestehen muß, damit letztere als Übersetzungen zu ihrem Gegenstandsbereich gehören“. (Koller 1993: 50; author's emphasis).

¹⁷⁵ „Als *Übersetzungskonstituierend* wird damit die Äquivalenzrelation (Übersetzungsbeziehung) zwischen Zieltext und Ausgangstext betrachtet“. (Koller 1993: 50; author's emphasis).

think deserves detailed consideration, i.e. the double-bound equivalence relationship: “Therefore the concept of equivalence should be made dynamic starting from the fact that translation is characterized essentially by a double-bound relationship: on the one hand by its specific relation with the *source text* and on the other hand by its relation with the *communicative conditions* on the part of the *receiver*.”¹⁷⁶ By introducing this distinction, Koller is able to overcome the traditional binary opposition I criticized above in Nida’s formal vs. dynamic equivalence, and Newmark’s semantic vs. communicative translation, respectively. This double-bound equivalence relationship also allows for a more accurate, realistic conception of translation that includes a range of possibilities extending from SLT to TL readership.

This is an important differentiation because “notions of equivalence that focus exclusively on the specific connection of the translation with the SL-text appear in this respect just as problematic as conceptions that make absolute the connection with the receiver, as is the case in action theories (Holz-Mänttari) or functional theoretical approaches (Reiss/Veermer).” (Koller 2000: 21)¹⁷⁷. Thus, Koller’s concept of equivalence actually provides the foundations for the integrated proposal I am making here, where linguistically-oriented approaches (SL-oriented), and literature/culture-oriented (TL-oriented) can be regarded, not as mutually exclusive, but as complementary paths. This same equivalence relationship allows for a better understanding of the historically-determined translational norms involved in using more or less foreignizing (SL-oriented) or domesticating (TL-oriented) translational strategies: the type of strategy used can be accounted for, precisely, by resorting to the concept of equivalence.

It is within this framework that one has to understand Koller’s claim that “[...] with the theoretical concept of equivalence it is then postulated simply that there exists a *translation relationship* between one text (or text elements) in a language L2 (TL-Text) and another text (text elements) in a language L1 (SL-text). The concept of

¹⁷⁶ „Der Äquivalenzbegriff sollte deshalb dynamisiert werden, ausgehend vom Sachverhalt, dass sich Übersetzung wesensmässig durch eine *doppelte Bindung* auszeichnet: erstens durch ihre spezifische Bindung an den *Ausgangstext* und zweitens durch die Bindung an die *kommunikativen Bedingungen* auf der Seite des *Empfängers*“. (Koller 2000: 21; author’s emphasis).

¹⁷⁷ „Äquivalenzbegriffe, die sich ausschliesslich auf die spezifische Bindung der Übersetzung an den AS-Text konzentrieren, erscheinen in dieser Sicht als ebenso problematisch wie Konzeptionen, die die

equivalence does not say anything about the *nature of this relationship*: this nature must be determined additionally” (ibid: 24)¹⁷⁸

Furthermore, Koller (2000: 24) makes a proposal in which he specifies five equivalence frameworks that I think could be used to help determine the nature of the relationship that underlies the concept of equivalence:

There have been different attempts to systematize the magnitude of equivalence. I myself have proposed (Koller 1992: 214ff) to apply the following five *frameworks of equivalence*: (1) the *extralinguistic situation*, that is mediated in a text (=denotative equivalence), (2) the *connotations* mediated in the text through the *type of verbalization* (specially through the specific selection among synonymous or quasi-synonymous possibilities of expression) in relation to stylistic level, sociolectal and geographical dimension, frequency, etc. (=connotative equivalence), (3) the *text and language norms* (norms of use) prevailing for a given text (=text-normative equivalence), (4) the *receiver* (reader), to whom the translation is addressed and who must be able to receive the text based on his/her comprehension conditions -at whom, in other words, the translation is ‘aimed’ so that it may fulfill its communicative function (=pragmatic equivalence), (5) the given *aesthetic*, formal and individual characteristics of SL-text (=formal-aesthetic equivalence).¹⁷⁹

On the other hand, for Koller, it is clear that equivalence is the key constitutive concept that allows one to recognize the relationship that holds between an SL-text and a TL-text as a *translation*. Thus a distinction can be drawn between translations ‘proper’ and other secondary linguistic products such as paraphrases,

empfängerseitige Bindung verabsolutieren, wie dies für handlungstheoretische (Holz-Mänttari) oder funktionalistische Theorieansätze (Reiss/Vermeer) der Fall ist.“ (Koller 2000: 21).

¹⁷⁸ „[...] mit dem theoretischen Begriff der Äquivalenz wird zunächst nur postuliert, dass zwischen einem Text (bzw. Textelementen) in einer Sprache L2 (ZS-Text) und einem Text (bzw. Textelementen) in einer Sprache L1 (AS-Text) eine *Übersetzungsbeziehung* besteht. Der Begriff Äquivalenz sagt dabei noch nichts über die *Art dieser Beziehung* aus: diese muss zusätzlich bestimmt werden.“ (Koller 2000: 24; author’s emphasis).

¹⁷⁹ „Es liegen verschiedene Versuche vor, die Bezugsgrößen der Äquivalenz zu systematisieren. So habe ich selbst vorgeschlagen (Koller 1992: 214ff), folgende fünf *Äquivalenzrahmen* anzusetzen: (1) der *aussersprachliche Sachverhalt*, der in einem Text vermittelt wird (= *denotative Äquivalenz*), (2) die im Text durch die *Art der Verbalisierung* (insbesondere: durch spezifische Auswahl unter synonymischen oder quasi-synonymischen Ausdrucksmöglichkeiten) vermittelten *Konnotationen* bezüglich Stilschicht, soziolektale und geographische Dimension, Frequenz etc. (= *konnotative Äquivalenz*), (3) die *Text- und Sprachnormen* (Gebrauchsnormen), die für bestimmte Texte gelten (= *textnormative Äquivalenz*), (4) der *Empfänger* (Leser), an den sich die Übersetzung richtet und der den Text auf der Basis seiner Verstehensvoraussetzungen rezipieren können soll, bzw. auf den die Übersetzung ‚eingestellt‘ wird, damit sie ihre kommunikative Funktion erfüllen kann (= *pragmatische Äquivalenz*), (5) bestimmte *ästhetische*, formale und individualistische Eigenschaften des AS-Textes (= *formal-ästhetische Äquivalenz*).“ (Koller 2000: 24; author’s emphasis).

adaptations, summaries, etc., in which case there exists a link between an SL-text and a TL-text but of a different nature, i.e., the TL-text can also be an *original* text which is only distantly related (thematically or structurally) to the SL-text. In Koller's terms: "At the same time translations *proper* must be differentiated from intralingual and foreign language rewritings, adaptations and text manipulations of the most diverse kinds." (Koller 1993: 51)¹⁸⁰. This normative stance of Koller's as to what *must* be considered a translation has been heavily criticized by representatives of functional, especially skopos-oriented theories which consider that, as long as the commissioner's skopos or goal in the translational action is respected, the product (translat) is something akin to a translation (cf. 2.2.1).

As I see it, Koller has provided the most comprehensive conceptual framework for understanding translational equivalence. His proposal clearly counters Nida's (formal vs. dynamic) and Newmark's (semantic vs. communicative) binary and dichotomous views of this issue. He clarifies the importance of this concept for determining the subject-matter of an empirically-oriented translational discipline; he also stresses the fact that equivalence has to do with the materialization of language use in texts, and he explains that equivalence displays a double-bound relationship with SLT and TLT readerships, thereby opening up the possibility of integrating the traditionally opposed views of linguistically- (SL) and culturally- (TL) oriented theories.

4.2.1.2.3 Criticism on Equivalence Approaches

Nord (1997b: 44-45) summarizes "the fundamental drawbacks of the equivalence model, as it is generally understood" as follows

1) Although there are sporadic references to pragmatic aspects (such as function or communicative effect), the equivalence model focuses mainly on structural qualities of the source text, losing the intrinsic relationship between extratextual (i.e. situational) and intratextual (i.e. linguistic) factors of communicative interaction out of sight.

¹⁸⁰ „Zugleich müssen die *eigentlichen* Übersetzungen abgegrenzt werden von intralingualen und fremdsprachlichen Bearbeitungen, Adaptationen und Textmanipulationen verschiedenster Art“. (Koller 1993: 51; author's emphasis).

Nord's initial 'drawback' has two main problems. First, there is no such thing as 'the equivalence model', i.e. there is no complete homogeneity between different proposals. As seen above, despite some similarities, Nida's and Newmark's proposals are similar in their binary nature but not identical as far as the target effect is concerned. And Koller's approach differs clearly from the previous ones to the extent that it does contemplate the possibility of integrated SL and TL foci into the double-bound equivalence relationship.

2. This is why cultural aspects do not come sufficiently into consideration, although language can be regarded as an intrinsic part of culture, and language users cannot but behave in a culture-specific way.

It is not clear what Nord means by "cultural aspects [which] do not come sufficiently into consideration". For instance, if one understands Nida's emphasis on 'dynamic' equivalence, it is immediately evident that his focus is on the target readership's capacity to comprehend what he calls the original's 'expressive element' and to respond to it in action (imperative function). Thus, the translator's task consists in making all the linguistic and *cultural* adjustments required for this to occur. Nida's books are full of equivalence cultural-related problems, especially of a religious nature. Nord's drawback, then, requires some restriction and qualification in order for it to be applicable.

3. Considering the divergent definitions of its basic concept, the equivalence model lacks consistency. Some scholars praise 'literalism' as the best way to secure equivalence (Newmark 1984/1985: 16). Others, such as Koller, allow a certain amount of adaptive procedures, paraphrases or other non-literal procedures in specific well-defined cases, 'where they are intended to convey implicit source-text values or to improve the comprehensibility of the text for the target readership' (Koller 1993: 53); [Nord's translation]. These are two rather arbitrary criteria which do not take account of the fact that sometimes implicit values should remain implicit and that comprehensibility is not a general purpose common to all texts or text types.

In fact, the model does not lack consistency, simply because –as pointed out above– such a unified or homogenous model does not exist in reality. Therefore, it comes as no surprise that different authors propose different models (dichotomous, in

Nida and Newmark's case, or multifaceted, in Koller's). Nord fails to see that if Newmark's and Koller's approaches differ (the former praises 'literalism', whereas the latter allows for some adaptation), it is because these are *prescriptive normative* views about what a translation *should* be, which do not necessarily reflect their definitions of 'equivalence'. For instance, as discussed above, Newmark not only considers semantic equivalence (SL-oriented and thus more prone to 'literalism') but also communicative translation (TL-oriented and culturally-bound) which by definition would be simply opposed to any type of literalism.

4. It is interesting to note, moreover, that non-literal translation procedures are more readily accepted in the translation of pragmatic texts than in literary translation. Thus, different or even contradictory standards for the selection of transfer procedures are set up for different genres or text types, which make the model rather confusing.

This time Nord refers here not to a *descriptive* but to a *prescriptive* view of 'translation procedures'. This is a topic to be discussed under the heading of what I have called here translational norms. However, Nord's claim is too general in this respect. We do not know who does the accepting of 'non-literal translation procedures' in pragmatic texts but not in literary texts. There is also some misunderstanding as to what she calls 'transfer procedures' and the way they are applied. These procedures can be used differently or similarly in different text types.

5. Being based on an apparently 'universal' concept (although this seems to be an illusion, too, as has been pointed out above), the equivalence model does not account for culture-specific differences in translational concepts. As a human activity which takes place within the boundaries of a particular culture-community, however, translation is bound to be guided by culture-specific norms and conventions, although the differences may not be striking between some culture-groups or even within larger culture-areas, such as the so-called 'average Western culture'.

It is true, as Nord points out, that a 'universal' concept of equivalence has to account for 'culture-specific differences in translational concepts'. However, I do not think that this should be an illusion, and an attempt will be made below to prove it.

6. The equivalence model excludes target language texts which do not satisfy the criterion of equivalence, such as interlineal versions, philological translations, 'resume' translations or adaptations,

from ‘translation proper’ (Neubert 1985: 162, and, more recently, Koller 1993), regarding them as ‘non-translations’ or adaptations (cf. Jäger and Müller 1982: 55f), although it is a well-known fact that such forms are asked for in professional translation practice.

It is a fact, as Nord says, that sometimes translators are asked to do interlineal translations, summaries, adaptations, etc. The question to be posed is whether those transformations from an SLT into a TLT are precisely the same type of process that occurs in translation proper. There is, in Genette’s (1982: 11) terms, a hypertextual relationship joining a B text (*hypertext*) (TLT) to a previous A text (*hypotext*) (SLT) into which it incorporates itself in a way different from that of a commentary.¹⁸¹ For Genette, translation is characterized as a case of hypertextuality where hypotext (SLT) and hypertext (TLT) only differ *formally*, whereas the *thematic* component of the texts involved remains somehow unaltered (*ibid*), a condition which is not fulfilled in the case of summaries, parodies or adaptations. As I will discuss in my proposal I think, again, that it is not a matter of *either/or* choices, but a continuum whose linguistic realization has tended towards one or the other extreme of a multiple-choice spectrum throughout the history of translation. Likewise, I do not think that whatever tasks a translator performs can be simply apprehended under the undifferentiated heading of ‘translational action’ (cf. Holz-Mänttari) whose products are simply ‘translats’ (cf. Vermeer). From a cognitive view, it stands to reason that when one summarizes or adapts an original some skills are activated which do not necessarily coincide with those activated when translating properly, and this is clearly reflected in the translational product.

7. In the equivalence model, the source text and its ‘value(s)’ (?) are considered to be the one and only standard, to which the translator has to subordinate any decisions in the translation process. Therefore, the model seems to perpetuate the low social prestige of the translator, whose activity is usually thought to be a kind of ‘nurturing profession’ (Pym 1993: 55).

Any translational action has to take into account the original, whether the objective is to translate it properly speaking, to summarize it, comment on it, or adapt

¹⁸¹ « J’entends par là toute relation unissant un texte B (que j’appellerai *hypertexte*) à un texte antérieur A (que j’appellerai, bien sûr, *hypotexte*) sur lequel il se greffe d’une manière qui n’est pas celle du commentaire ». (Genette 1982: 11).

it. These translational products are not *independent* texts; they exist in a hypertextual relationship with another text, they depend on an original, as discussed above. But translators' practice throughout history shows us that they have been 'subordinated' not only to the SLT but also to other, extralinguistic, factors. For instance, Luther's domesticating translation of the Bible could not have occurred if he had remained strictly faithful to the original's words. Besides, I do not see how the equivalence model could 'perpetuate the low social prestige of the translator'. Nord does not elaborate any further on this idea.

Additional criticisms have been voiced specifically against Koller's proposal. Prunc (2001: 75) criticizes the fact that Koller leaves no room for translational cases where there is a function shift of the translated text in the target community: "when, besides the equivalence postulate, he [Koller] presents the postulate of the socio-cultural identity of the target groups in the source and target cultures –and this is how his call to preserve the crucial features of the target groups should be understood- he excludes from the outset the possibility of any shift in the function of a text."¹⁸² This is a valid criticism of Koller's proposal. It may be true that in many cases, both in literary and non-literary translation, there is a tendency to respect the original's function in the SL community, but it is also true that some kind of manipulation takes place at times.

Reiss (1990: 41) wonders whether Koller's efforts to draw a clear dividing line between translation proper and other translational products are actually realistic: "while a small back door is nevertheless opened for the excluded 'adaptations' into translation proper –the transitions between translations and adaptations are fuzzy- only 'paraphrase' and 'commentary on content clarification' are left over as signs allowing us to distinguish between translation proper and non-proper (?)."¹⁸³ In fact Koller (1992: 235) leaves room for what he calls 'punctual adaptations' "which should be considered as working, i.e., text-producing elements in translation; they can

¹⁸² „Wenn er [Koller] neben dem Äquivalenzpostulat noch das Postulat nach soziokultureller Identität der Zielgruppen in der Ausgangs- und der Zielkultur –so ist seine Forderung nach Beibehaltung der entscheidenden Merkmale der Empfängergruppe wohl zu verstehen- stellt, und somit jeden Funktionswechsel eines Textes von vornherein ausschließt“. (Prunc 2001: 75).

¹⁸³ „Während dann den ‚Bearbeitungen‘ ausschließlich doch noch ein Hintertürchen zur Übersetzung im eigentlichen Sinne geöffnet wird -die Übergänge zwischen Übersetzung und Bearbeitung sind

be completely appropriate, even indispensable, if the translation is to reach its readers, i.e. from the perspective of pragmatic equivalence.”¹⁸⁴ Koller also distinguishes between the ‘adapting translation’ which “replaces SL elements, specifically rooted in the SL culture, by TL elements of the TL culture”, where “the translation *assimilates* the SL context into the TL context”, and the ‘transferring translation’ which “attempts to transfer SL elements as such into the TL text” (ibid: 60)¹⁸⁵. These two translation types could roughly correspond to Venuti’s domesticating and foreignizing strategies. Thus, even though Koller insists on describing the qualities of translation proper, he also acknowledges that there are cases where, for pragmatic reasons, some adaptations are called for.

For Pym (1997: 74), “having established a pluralistic notion of equivalence, Koller says very little about how any translator is to obtain the correct hierarchy of frameworks for each situation.” Pym is right; Koller does not provide clear guidelines in this respect. Pym also suggests that Koller’s approach could be complemented by Nord’s (1988) text analysis and Vermeer’s skopos theory. However, this integrative view has not been fulfilled precisely because there was no such general translational framework in any of these authors. Pym asks, “If Koller’s theory is so weak at this point, why should I praise him for sticking to his guns?” And he answers, “Precisely because he has the courage to insist, despite the ‘modern’ trends of the 1980s, that there is a difference between translation and non-translation, and that this difference is historically functional rather than eternally essential. [...] None of Koller’s critics, I repeat, has really come to terms with the problem of defining non-translation. Koller deserves praise for insisting that they should do so” (ibid: 77).

Perhaps one of the most problematic issues in Koller’s proposal has to do with the differentiation of the frameworks of equivalence. He does not explicitly clarify or

fließend (p.89-92)- bleiben ‚Paraphrase‘ und ‚kommentierende Inhaltserläuterungen‘ als Kennzeichen übrig, um das eigentliche vom nicht-eigentlichen (?) Übersetzen zu unterscheiden“. (Reiss 1990: 41).

¹⁸⁴ „*Punktuelle Adaptationen* sind als bearbeitende, d. h. textproduzierende Elemente in der Übersetzung zu betrachten; sie können durchaus angemessen, ja unumgänglich sein, wenn die Übersetzung ihre Leser erreichen will, d. h. unter dem Aspekt pragmatischer Äquivalenz“. (Koller, 1992: 235; author’s emphasis).

¹⁸⁵ „Die *adaptierende Übersetzung* ersetzt AS-Textelemente, die spezifisch in der AS-Kultur verankert sind, durch Elemente der ZS-Kultur; die Übersetzung *assimiliert* den AS-Text im ZS-Kontext. Die *transferierende Übersetzung* versucht, kulturspezifische AS-Elemente als solche im ZS-Text zu vermitteln“. (Koller 1992: 60; author’s emphasis).

develop the idea that ‘equivalence’ only implies that there exists a relationship between SLT and TLT. It seems to me that this relationship should be understood in terms of the equivalence frameworks he proposes. However, when one sees the way these equivalence frameworks are presented, one may think that they are independent and, to some extent, unconnected. Shveitser (1988: 80) voices a similar criticism: “In his [Koller’s] view, the concept of equivalence itself only postulates the existence of certain relations between SLT and TLT. The lack of a differentiating requirement for equivalence in translation renders the concept meaningless in the sense that it is not clear precisely in what relationship the translation should be equivalent to the original.”¹⁸⁶

4.2.1.2.4 Equivalence in DTM

I consider translational equivalence to be a descriptive concept that links a TLT to its SLT. Equivalence does not mean identity in any respect. Nor is it a *binary* notion as Nida’s (formal vs. dynamic equivalence) and Newmark’s (semantic vs. communicative) proposals imply, but rather *multifaceted* as Koller suggests. It is a complex concept that needs to be broken down into its different components in order for it to be properly apprehended. Equivalence is a textual relationship of the type Genette calls hypertextuality, i.e. there is a hypotext on which a hypertext *depends*. The hypotext is the source language text and the hypertext is the target language text. A text is a translation if it is possible to follow the equivalence sequence between SLT (hypotext) and TLT (hypertext). In cases where huge interruptions (e.g. of more than one sentence, with omissions, additions, gross semantic changes, etc.) occur in the equivalence sequence, then it is very likely that one is no longer dealing with a translation but with an adaptation.

Equivalence is not static but dynamic. The dynamic nature of translational equivalence is explained when historico-cultural contextual variables are taken into

¹⁸⁶ «Само по себе понятие эквивалентности, по его мнению, постулирует лишь наличие неких отношений между исходным и конечным текстами. Недифференцированное требование эквивалентности, предъявляемое к переводу, бессодержательно, поскольку остается неясным, в каком именно отношении перевод должен быть эквивалентным оригиналу». (Shveitser 1988: 80).

account. The key concept to make dynamic the concept of equivalence is *translational norms*. As Toury (1995: 61) puts it, “the apparent contradiction between any traditional concept of equivalence and the limited model into which a translation has just been claimed to be moulded can only be resolved by postulating that *it is norms that determine the (type and extent of) equivalence manifested by actual translations*” (Toury’s emphasis). In my DTM I attempt to show that the translator receives a direct influence from translational norms (both linguistic and non-linguistic) *and* from the initiator’s input (‘translational instruction’) as to how to perform his task. Depending on these variables the translator decides how close the equivalences which he will establish between SLT and TLT will be¹⁸⁷. Only if translational equivalence is envisaged as part of a translator’s decision-making process within the framework of these contextual variables can one actually understand distinctions between translation and adaptations which still do not establish a clear link to the ‘agents’ of translational actions in general and to the translator as the key executor. For instance, when Schreiber (1993: 105) distinguishes between translation and adaptation, he claims that, “for differentiating translation from adaptation it can be said, for the time being, that *translations* have to do with preserving as much as possible (except the SL), whereas *adaptations* have to do with changing specific text features more or less ‘arbitrarily’ (except at least one individual text feature which produces the relationship to the previous text). In other words, whereas translation depends mainly on *invariance requirements*, adaptation is based primarily on *variance requirements*.”¹⁸⁸ Schreiber’s distinction is not dynamic, but static because he does not include either the agents of translational action or the socio-cultural contextual variables of translational norms which actually determine the equivalence range of variation between translation proper and adaptation.

¹⁸⁷ One of the first authors to see translation as a decision-making process was Levý (1967/2000: 148): “From the point of view of the working situation of the translator at any moment of his work (that is from the pragmatic point of view), translating is a DECISION PROCESS: a series of a certain number of consecutive situations –moves, as in a game- situations imposing on the translator the necessity of choosing among a certain (and very often exactly definable) number of alternatives.”

¹⁸⁸ „Für die Unterscheidung zwischen Übersetzung und Bearbeitung bleibt also vorläufig festzuhalten, daß es bei *Übersetzungen* darum geht, möglichst viel zu erhalten (außer der Ausgangssprache), während es bei *Bearbeitungen* darum geht, bestimmte Textmerkmale mehr oder weniger ‚willkürlich‘ zu ändern (außer mindestens einem individuellen Textmerkmal, das den Bezug zum Prätext herstellt). Mit anderen Worten: Während die Übersetzung vor allem auf *Invarianzforderungen* beruht, beruht die Bearbeitung primär auf *Varianzforderungen*“. (Schreiber 1993: 105).

4.2.1.2.4.1 Default Equivalence Position (DEP)

I propose to distinguish a *default equivalence position* (DEP) which corresponds to the point where translational norms and initiator's intention are in a kind of neutralized position in an equivalence range, which allows the translator to respect the communicative purpose (intention) of the original's sender and stick to it. In this case the result is what one would usually call a 'faithful' translation, where the primary guiding parameter for establishing equivalences is provided by the SLT itself according to what it actually says (explicit and implicit meaning). This is what Koller calls 'translation proper'. The translator's task consists in recovering the SL sender's intention (pragmatic dimension) according to what he says (text semantic dimension), and how he says it verbally (stylistic dimension) and non-verbally (semiotic dimension). Likewise, in this case by definition it is taken for granted that the SLT will fulfil a similar function in the TL community. It is also clear that the translated text cannot fulfil *the same* but only *a similar* function in the target community because it is embedded in a socio-cultural context different from the context of the SL community.

Both SLT and TLT of any text type (e.g. literary, everyday conversational, scientific) have the same textual dimensions, i.e. pragmatic, semantic, stylistic, and semiotic. The content of each dimension will vary from close resemblance to total differentiation. If the *default equivalence position* applies, i.e. TLT is considered a translation proper of SLT, then there should be some strong link between them: the original's communicative intention should remain somehow unaltered, the content of TLT may vary if the target translational -linguistic and cultural- norms call for a modification in order to maintain the SLT's textualized intention, and the stylistic devices will vary as they are bound to the TL text and language typology. Thus, I think that there is clearly a hierarchy between the different text dimensions where equivalences are established. As long as the *default equivalence position* holds, the overriding criterion for translating would be to respect the SL author's/sender's intention textualized in the SLT. This has nothing to do with 'literal' translation, because the textual semantic, stylistic, and semiotic dimensions will be recreated in

TLT according to the pragmatic-communicative parameter which characterizes translation as a communicative activity (cf. 4.2). In other words, the textualization process will also allow -and sometimes demand- macrostructural changes according to the TL systemic and textual typology as well as text internal modifications.

The translational equivalence range will move towards or away from the default equivalence position according to the different translational norms and initiators' translational instructions historically valid at any given moment in the TL socio-cultural context. There are general, specific text-type translational norms, valid for all text types. For instance, there can be a norm for translating technical and scientific texts as closely to the original's meaning as possible, whereas another norm for literary texts can call for the application of domesticating or foreignizing strategies at all costs. Besides, as discussed above (cf. 4.2.1.1), translational norms have varied, still do, and even co-exist at different historical periods. For example, at present, Shveitser (1988) considers that a norm is at work that aims at recreating the original and reflecting the original author's communicative intention. If this is true – and it seems to be the case as a general translational norm applicable to technical, scientific and serious literary text- types¹⁸⁹- then a translational norm very close to the *default equivalence position* would be valid and would correspond to the above description. Pym (2000) also seems to acknowledge the existence of a translational norm favoring 'fidelity' or 'openness' to the original instead of 'inventiveness' or 'acceptability' when evaluating a literary translation, and some international 'domestication' in the case of translations into English, especially in literature for children. On the contrary, as Albrecht (1998) points out, in the Age of Romanticism a norm favoring foreignization was acknowledged, whereby some of the elements of the original were kept in the translations.

To sum up, we can say that equivalence is a dynamic descriptive concept which links a translated text to its original. The linguistic degree to which the original is recreated in the translation will depend on historico-cultural contextual factors: translational norms and initiators' translational instructions generally (for all text types) or specifically valid (only for a certain text-type) at any given period. I have

¹⁸⁹ As discussed in Chapter 3 (cf. 3.5), Albrecht (1998), Sager (1998), and Appel (2004) share a similar view, specifically with regard to maintaining the function of the original in literary translations.

also proposed to distinguish a *default equivalence position* in a translational equivalence range, which may serve as a point of reference for establishing how close the translation stands to the original author's communicative purpose. In order for the default equivalence position to be established, it is necessary to carry out a detailed comparison of SLT and TLT. Such an empirical descriptive approach makes it possible to trace to their source some of the translational norms which may have affected the translator's decision process. It is also clear that equivalence is a multifaceted phenomenon that for methodological reasons cannot be apprehended as a whole and therefore has to be studied at the different textual levels where it is realized. Thus, my model accounts for it at the pragmatic, semantic, stylistic and semiotic levels.

As said above, within my translational theoretical framework equivalence is a descriptive concept which relates SLT to TLT dimensions in an equivalence range with a default equivalence position. For practical reasons, e.g. in translation criticism, equivalence can be used as a descriptive concept for ascertaining compliance to any given translational norm valid in the target community for the specific translated text type, together with the fulfilment of the initiator's 'translational instructions'. Thus, unlike Koller, I think that equivalence is *not* a normative concept that tells us what *should* be considered translation proper. The factors that determine what a translation *should* look like are, rather, TL translational norms (favoring, for example, closeness to the original in a foreignizing TLT; closeness to the TL readership in a domesticating TLT; closeness to the default equivalence position; adding new elements to the TLT; omitting terms with a cultural potential to bring forth conflict in the TL community, etc.), as well as the initiator's translational instructions (telling the translator, for example, to maintain the original's function in the TLT; to modify this function slightly or considerably, adjusting it to the TL readership; to adapt the original's terminology punctually to the TL national varieties, that is, to localize it; to recreate the original's national variety in a TL international variety, etc.).

The relationship that exists between translational norms and initiator's translational instructions is that translational norms are the *default compulsory translational force*, i.e., they are generally valid and acknowledged as such in the TL community. However, they can be overridden by the initiator's translational

instructions, i.e., the specific instructions the translator receives for carrying out his task, which may coincide totally or only partially with the prevailing translational norms, or may in part or completely deviate from them.

4.2.2 Second Level: Translational Communicative Process: Participants

As pointed out above, translation is a historico-culturally determined bilingual communicative activity which takes place according to TL translational norms (linguistic and cultural) when an SL sender, on his own initiative or on someone else's instructions (initiator's translational instructions), produces a text that is received by the translator, an SL receiver who, in turn, as a TL sender produces a TL text which has an equivalent pragmatic value for TL receivers. The communicative nature of the translational activity has been recognized by several authors (e.g. Kade 1968, Komissarov 1977, Shveitser 1988, Neubert and Shreve 1992, Bell 1991).

It is crucial to acknowledge the communicative nature of the translational process and therefore we have included it as the second level in our DTM because this allows us to visualize how translating actually takes place in the realization of a translated text (third level) within the SL and TL historico-cultural contexts (first level).

The translating communicative process is very complex. In DTM we have attempted to show the flux of the communicative purposes of the different participants in the translation process. Generally speaking, translating begins when an initiator expresses his communicative purpose or intention (Pi) to have a text translated. The text to be translated has been produced by an author/sender with a specific purpose (Ps) according to the SL language systemic and text typological norms available in the source language. The text (SLT) is textualized (=verbalized) with the author's pragmatic intention as the guiding pattern in the form of a general macro-speech act split up in micro-speech acts expressed in the utterances which make up the text. Some discourse mechanisms are activated, among which the most important are modality (the presence of the enunciating subject in the utterances), polyphony (different voices which are given the floor in the text), and deixis (the 'normal' or 'displaced' personal, temporal and spatial location of the text in relation

to the co-text¹⁹⁰ and context –real or possible world). Furthermore, in the case of literary texts a narrator, together with an implied author and an implied reader, are typical instances of narratives. Thus, according to the author’s pragmatic intent the text is structured at the semantic (what is said in a real or possible world?), stylistic (how is it said verbally?) and semiotic (how is it said by using non-verbal signs?) levels.

SLT is received by the translator who weighs the original author’s verbalized intention against the general and specific text-type-related translational norms valid in the TL community and against the initiator’s translational instructions. Then, based on his communicative, textual and translational competences, he proceeds to verbalize the TLT according to the default equivalence position and the possible modifications, involving closeness or distance in relation to the translational norms, within the framework of the default compulsory translational forces. Thus, the translator, as a TL author/sender, provides the TLT with the communicative purpose that he thinks balances the original author’s intent against the contextual restrictions (translational norms and initiator’s translational instructions). He verbalizes the text accordingly at the semantic, stylistic and semiotic levels taking into account the TL linguistic systemic and textual typological norms. The TL receiver receives a text which reflects, through the translator’s verbalization, the original author’s intent, potentially restricted by the compulsory translational forces (translational norms and initiator’s translational instructions) at work at that specific historical moment in the TL community.

4.2.2.1 Initiator: Initiator’s Translational Instructions (ITI)

The Initiator of the translation process is located at the outermost level of DTM, i.e. the historico-cultural level. The initiator represents a more or less abstract powerful instance (economic, religious, political, aesthetic, etc.) which enforces and also

¹⁹⁰ According to Latraverse (1987: 208), Bar-Hillel introduced in 1970 the distinction between co-text and context, where ‘co-text’ refers to the immediate linguistic environment before, during and after an enunciation, whereas context has to do with the non-linguistic aspects of the enunciation: “Il [Bar-Hillel] suggère d’une part de réserver le mot contexte pour les aspects non linguistiques de l’énonciation et d’autre part d’appeler co-texte l’environnement linguistique de l’énoncé, c’est-à-dire l’ensemble des échanges verbaux antérieurs, concomitants ou postérieurs à l’énonciation considérée”.

determines the translational norms (what the translation *should* be like) which, in turn, dictate the translator's behaviour and his corresponding text linguistic realization. They also reflect an ideological system of beliefs and values, generally of an antonymic nature (e.g. 'good vs. bad', 'right vs. wrong', 'decent vs. indecent', 'acceptable vs. unacceptable' translations).

The initiator can be a person or an institution which commissions the translation. He/It is endowed with a communicative purpose (Pi) which generally reflects a particular interest of a well-defined nature: economic, political, ideological, aesthetic, scientific, etc. He/It commissions the translation according to his/its predominant interest (translational instructions) and the valid translational norms in the TL community, which are not only enforced, but also established precisely by the initiators. I propose to call this instance Initiator's Translational Instructions (ITI). This communicative interest can involve open ideological manipulation. For instance, we could have the situation of a literary translation commissioned with the explicit instruction that even the plot of a novel (e.g. Lew Wallace's 1880 *Ben-Hur: A Tale of the Christ*) should be manipulated, if necessary, so that the prevailing religious values in the target language community are not jeopardized (cf. Nitsa Ben-Ari 2002).

At the pragmatic level of the intercultural communicative translation event (DTM's second level), as discussed above, a discrepancy can emerge between the initiator's intention (ITI) and the communicative purpose of the original author's intention. If the initiator openly intervenes in the SLT by asking the translator to completely change its content (= textual semantic dimension) and the initial communicative purpose (= textual pragmatic dimension), then the resulting text (TLT) will very probably not be considered a 'translation' in traditional terms but rather an 'adaptation', unless there is a TL translational norm which allows or even fosters this type of drastic modifications in the translated text and insists on calling this text a 'translation'. In this respect, G. Toury's (1995) extreme polysystemic tenet that a translation is a translation by the very fact of being recognized as such by the target community can be understood in the light of my proposal as follows: a non-translation or pseudo-translation (actually there is no SLT) is recognized as a 'translation' in the target community because there is a valid TL translational norm which overrides the hypertextual condition that states that a translation (hypertext) is

a text that depends on a previous text (hypotext). However, I think that in this a case we are dealing with a *fictional* or *mimetic* translation, not with a *real* translation. It has been created to make TL readers believe that it *is* a translation but in fact it only *seems* to be a translation; but it is not, no matter how many TL readers fall for it. Thus, this is not a case of translation *stricto sensu*, as no equivalence operations can be empirically traced back to a (non-existent) SLT.

At different moments in the history of translation, initiators have been not only editors or simple individuals with the economic means necessary to commission a translation, but powerful institutional instances personalized in kings, dukes, bishops, etc. For instance, Alfonso X played a crucial role in the formation of the School of Toledo in the thirteenth century; the Duke of Lancaster protected John Wycliffe in the fourteenth so that he could carry out the first complete translation of the Bible into English; Hernán Cortés relied on the collaboration of doña Marina (*la malinche*) to be successful in the conquest of Mexico, etc. (cf. Delisle and Woodsworth 2005).

4.2.2.2 SL Author/Sender

First of all, it should be clarified that the text's author is not always the sender. For instance, in the case of the translation of a political text (e.g., a speech), it is very likely that the text's author (a writer) is not the sender (a politician), who delivers it. However, as the text is read aloud by the politician, it is assumed the views it expresses are his. For translational purposes, it is not crucial to determine who the real author of the text is or if the text is apocryphal, precisely because it is my view that what is actually relevant for translating is the wording, i.e., what has been verbalized by the text's author in the different text dimensions (semantic, stylistic and semiotic) according to his communicative purpose (pragmatic intention). Besides, there are many cases, especially of literary texts, where it is not possible to ascertain who the text's author is (e.g. very popular works such as the Spanish poem, *El Mio Cid*, or the French one, *La chanson de Roland*).

Within my DTM, the text's original intention is a crucial aspect to be taken into account by the translator. With regard to the author's intention, which in terms of

the Speech Act Theory (Searle 1969) we can call illocutionary force, it is important to point out that there is a general communicative purpose corresponding to a macro-speech act (e.g. to inform the public about a recent discovery in a popular scientific article; to share a traveler's adventures in an exotic country in a literary work, etc)¹⁹¹ which is verbalized in smaller communicative units known as micro-speech acts expressed in the text's utterances. These micro-speech acts are, so to speak, 'subordinated' to the text's original verbalized intention.

The original's author is able to verbalize his communicative purpose in a text because he knows how to communicate effectively in his language (communicative competence), resorting to the different SL text-types which are available (textual competence) and which allow him to express appropriately what he means. He also has some pragmatic knowledge which helps him to decide when it is necessary to be polite, to provide more explicit or implicit information, to be straightforward or indirect, to avoid taboos or terminology sanctioned as immoral in his community, etc.

Therefore, having analyzed the different possibilities he has for transmitting his message (intention), the sender chooses a text-type that allows him to materialize his global communicative purpose (Ps) in an SLT. In this way, the *pragmatic dimension* of the communicative process is activated and the question is answered about what the author/sender wants to *do* with his text: inform, convince, persuade, entertain, etc. He then proceeds to verbalize his general communicative purpose by writing an SLT which is articulated at the levels mentioned above: *semantic* (what is said), *stylistic* (how it is said verbally), and *semiotic* (how it is said non-verbally).

4.2.2.3 Translator: SL Receiver and TL Sender

The translator is the crucial participant in the translation process because he is the one in charge of producing a TLT which holds an equivalence relationship with an SLT. From a communicative perspective, the translator performs the function of SL receiver and TL sender. Initially, he receives as linguistic input the SLT where the

¹⁹¹ Moskalskaja (1984: 57) speaks of "a prevailing communicative intention": „Zusammenfassend kann man sagen, daß der Text eine dominierende kommunikative Intention hat, die sich je nach der Mitteilungsaufgabe des Textes als Verknüpfung spezieller kommunikativer Intentionen realisieren kann“.

author has expressed verbally his communicative purpose¹⁹². If the default equivalence position is activated, then the translator respects the original's verbalized intention and produces a text which, though it complies with TLT linguistic and cultural norms, makes only those adjustments which are necessary for the text to be comprehended by the TL community. However, if the TL translational norms proscribe the transfer of some linguistic items of the original, then the corresponding arrangements and modifications are made. If, in addition, the initiator's translational instructions dictate some specific modifications to be performed in the translated text, depending on the degree of these alterations, it will have to be determined whether one is still dealing with a translation (pragmatically speaking, whether the original author's verbalized intention is maintained and, structurally, whether minor but necessary changes are called for, and the equivalence sequence can still be followed) or with an adaptation (pragmatically speaking, whether the original author's verbalized intention has been drastically overridden by the initiator's translational instructions and the TL translational norms, and in structural terms, whether huge modifications in the original's content, extension, form, etc. have been made and it becomes impossible to follow the equivalence sequence between SLT and TLT).

In order for the translator to perform his translational task he should possess the necessary linguistic (systemic), communicative and textual competences in SL. When faced with the SLT, the translator activates his cognitive competence in order to understand it by updating and contrasting his previous knowledge with the knowledge that is being presented in the text (cf. scheme-script-frame theories, Heinemann and Viehweger 1991: 71)¹⁹³. He can thus understand the text's meaning. He activates his translational competence which allows him to carry out a reading I have called 'surgical', which consists in reading the text not just for an 'ordinary' understanding but in order to determine the way it has been constructed in relation to its pragmatic (author's communicative purpose), semantic (what is said), stylistic

¹⁹² Brandes (1993: 81) expresses the translator's need to trace the original's author in these terms: "It is important for translators to learn how to read a text in its inner form, to learn to discover the author in a text, the creator in a 'product', to understand the outer text in its inner dialogical form."

¹⁹³ In cognitive terms: "In fact, 'retrieving' a memory is a highly elaborate and constructive process. We access fragments from the relevant time period and link them together, often using broad schemas. In other words, we do not really remember the past, we reconstruct it -often in a way that reflects our

(how it is said verbally) and semiotic (how it is said non-verbally) dimensions. At the same time, the translator attempts to trace any peculiarities in these textual dimensions which may prove potentially problematic for translating the text. In Komissarov's (1999: 156) terms, "the translator has to understand the original more thoroughly than a normal reader does, for whom the original's is his native language. Such an additional thorough understanding is linked to the need, first, to draw final conclusions on the text's contents and, second, to take into account the TL demands."¹⁹⁴

After the comprehension phase has taken place, the translator proceeds to produce the TLT according to the TL linguistic systemic and textual norms as well as the TL translational norms together with the initiator's translational instructions. In case there are no explicit translational instructions by the initiator, then it is up to the translator to decide to what extent he will comply with the prevailing TL translational norms and the original author's intention actually verbalized in SLT. Thus, he may decide to use a translational strategy involving the establishment of equivalences between SLT and TLT which remain very close to the default equivalence position or diverge sharply from it. It is important to point out here that the translator's use of translational strategies will not be homogeneous, i.e., he may decide to use a general strategy to stay as close to the original's verbalized communicative purpose as possible, but when it comes to translating foreign names he may decide to adapt them to the TL forms by using a domesticating strategy which seeks to obliterate their foreign origin. All in all, I think that the hypothesis can be formulated that, despite using one or more translational strategies, the translator will usually resort to a general translational strategy which will permeate the whole translated text. The other strategies will be used subsidiarily only for punctual or specific purposes.

One may say that the main task the translator faces in his work is the establishment of equivalences in a continuous and dynamic problem-solving

present concerns as much as our past experience, sometimes in a way that does not reflect our past experience at all." (Hogan 2003: 161).

¹⁹⁴ «Переводчик вынужден понимать переводимый текст более глубоко, чем это обычно делает 'нормальный' читатель, для которого язык оригинала родным. Такая дополнительная глубина понимания связана с необходимостью, во-первых, делать окончательные выводы о содержании текста и, во-вторых, учитывать требования языка перевода». (Komissarov 1999: 159)

process¹⁹⁵. He recreates/verbalizes TLT according to his understanding of what his translation *should* look like after having weighed the original author's verbalized intention against the initiator's translational instructions (ITI) and the TL valid translational norms (TL-VTN) (i.e. what I propose to call Compulsory Translational Forces [CTF]) for the specific TL text-type. In order to solve the translational problems he encounters, the translator draws heavily on his previous knowledge about the topic dealt with in the original and looks into additional sources of information, linguistic and encyclopedic, to ensure his understanding of SLT and to find the corresponding TL expressions and terminology necessary to recreate it. Likewise, he also draws on his translational competence, specifically on the translational skills and strategies he has acquired over time by translating from several SL text-types.

I would agree with Lefevere's (1992) claim that translation is a type of 'rewriting'. This implies that the translator 'rewrites' or 'recreates' the original. It is a recreation task that already has a point of departure, so that, in Genette's (1982) terms, a hypertextual relationship exists between the SLT (hypotext) and the TLT (hypertext). This translational recreation is described by Eco (2003: 293) as follows: "Thus, poetic translation often aims at a *radical reconstruction* which accepts the challenge of the original in order to recreate it in a different form and a different substance (attempting to remain faithful not to the letter but to the inspiring principle whose individualization obviously depends on the translator's critical interpretation.)"¹⁹⁶ This recreation task by the translator that Eco describes for 'poetic translation' also applies to the translation of all text types. The difference is that in the literary text types, unlike in scientifically-oriented text types, generally the author's intention has been verbalized in such a way that sometimes there is a focalization not

¹⁹⁵ Cognitively speaking, in order to solve translational problems we need to understand the SLT in a process that implies the use of our working memory whose task "is first of all to integrate the incoming material. This begins with the incoming stream of sound. Again, the structures encoded by the auditory processor serve as probes in long-term memory. Activated schemas from long-term memory enter into working memory. These serve further to select, segment, and structure the incoming stream. In other words, they encode it more completely. Most obviously, they serve to encode the sounds, beyond their relative pitch relations, into their scale relations –at least defining the tonal center." (Hogan 2003: 20).

¹⁹⁶ "Per questo, nella traduzione poetica, si punta spesso al *rifacimento radicale*, come un sottoporsi alla sfida del testo originale per ricrearlo in altra forma e altre sostanze (cercando di rimanere fedeli non alla lettera ma a un principio ispiratore, la cui individuazione dipende ovviamente dall'interpretazione critica del traduttore)". (Eco 2003: 293).

only on what is being said (textual semantic dimension) but also on how it is said (stylistic dimension). In other words, the original's wording itself is semantically loaded, i.e. it not only denotes but also connotes and it becomes the referent alluded to in the text (cf. Jakobson's [1959/2000] metalinguistic function). The original's 'inspiring principle' as mentioned by Eco is what I have called in my proposal the actual verbalization of the original author's communicative purpose, i.e. the textual pragmatic dimension which will be the guiding principle for the articulation of the other textual dimensions (semantic, stylistic and semiotic).

Besides, I could initially agree with Stolze's (2003: 300) view, according to which "one can only translate what one has understood and how one has understood it. As the truth of the text to be translated is a cognitive phenomenon, a presence in one's consciousness, there can be no 'transfer' in translation. It is rather the information inferred which is expressed anew to other receivers. Thus, the concept of transfer should have no place in translation theory."¹⁹⁷ Stolze is right in pointing out that the 'information inferred,' present in our consciousness, is what one expresses in TLT. However, she fails to see that the source of this information is not 'original'; it has not been created by the translator in an independent and autonomous cognitive process based on his *direct* apprehension of the world, but comes from his 'interpretation', an *indirect* apprehension of the world originally presented in SLT. Thus, there is actually 'transfer' in terms of the world (fictive or real) that is directly depicted in SLT, interpreted and indirectly recreated in TLT. As I see it, then, transfer theories and hermeneutic translational theories are not necessarily opposed, but rather mutually complementary. They do differ as to the topic focalized: in transfer theories it is the 'recreation' in TLT of a world (fictive or real) similar to that depicted in SLT; whereas in hermeneutic theories it is the translator's process of comprehension which by definition is always individual and constantly changes within the specific historico-cultural contexts.

¹⁹⁷ „Übersetzen kann man nur, was man verstanden hat und so wie man es verstanden hat. Da die übersetzende Textwahrheit ein kognitives Phänomen ist, eine Bewusstseinspräsenz, kann es in der Translation keinen ‚Transfer‘ geben. Es ist vielmehr die Mitteilung, wie sie sich erschlossen hat, die in einer anderen Sprache für andere Empfänger neu formuliert wird. Der Transferbegriff sollte daher keinen Ort in der Translationstheorie haben“. (Stolze 2003: 300).

Unlike Venuti, and in general poststructuralist and postcolonial translational approaches (cf. 2.4 and 2.5), I do not believe that the use of ‘resisting’ translation strategies will eventually free translators from the subordinate role they have traditionally been assigned in society. On the contrary, these strategies would only help to ‘enslave’ translators according to translational norms which are being dictated and enforced by certain elite writers and translation scholars who would like to rule the translational activity with a clearly biased ideological stance that favors the use of conscious manipulative strategies. It seems to me that it is more difficult to be ‘invisible’ in the translated text, to act according to a professional ethical code which respects the original and negotiates the translational instructions, than to simply manipulate the translation arbitrarily in order to pose as ‘subversive’. This alleged subversion may simply hide the translator’s glaring incompetence. Now, if a translator feels uncomfortable carrying out a translation on account of ethical, religious, gender, sexual, etc. reasons, he may always express his discomfort by refusing the translation commission. He is free to turn it down. But if he accepts the task of doing a translation, he is ethically bound to deliver precisely that product: a ‘translation’, not his version of what he would like that translation to be to serve his own personal interests.

4.2.2.4 TL Receiver

Based on De Waard and Nida’s (1986) claim about the ‘cultural similarities’ between people from the most diverse cultural backgrounds, one could think that there are also universal patterns which are identical in the effect caused on the receiver by the translated text. Thus, some authors have argued that it is possible to attain in the TL community the *same* effect that the original text had on its native readers, especially in the case of literary texts¹⁹⁸. I think that this view is wrong because it does not take into account the fact that all texts activate, by their verbalization, a denotative and a connotative meaning. When one talks about the same effect on SL and TL receivers,

¹⁹⁸ For instance, Landers (2001: 27) expresses this view as follows: “This is precisely what literary translators attempt to achieve. Not only characters but all facets of the work, ideally, are reproduced in such a manner as to create in the TL reader the same emotional and psychological effect experienced by the *original* SL readers”.

one disregards this crucial distinction. The same effect cannot be achieved even within the SL community, because flesh-and-blood receivers are all different individuals with diverse backgrounds and life experiences who, obviously, will not react in identical ways even to the very same text. It is difficult to believe, then, that the idea of an identical effect on SL and TL receivers has any sound foundations. What can be common to most readings under normal circumstances, i.e., in the absence of any special cognitive disabilities, is the recovery of the semantic denotative dimension of the text, that is, the reality (fictive or real) that it portrays (e.g. description of actors, events, qualities, actions and their mutual relationships). How readers interpret this reality subjectively, i.e. connotatively, will vary from one reader to another.

As said above (cf. 4.2.2), two textual instances are created not only in literary but also in technical-scientific texts: implied author and implied reader. The implied author represents the linguistic materialization of the real author by means of the voice of an implied author. The implied reader corresponds to the textual instance that the original's author creates as he is wording his text and would correspond to the question Gerzymisch-Arbogast (2001:174) poses: "How can an author reach his potential reader?"¹⁹⁹ For Gerzymisch-Arbogast, this can be achieved within a reader-oriented approach when a collaboration model between author and reader is postulated, "in which the author in his writing situation first distances himself from the new information he would like to communicate and places himself in the reader's cognitive situation –in what he expects this situation to be- which he expresses by using such utterances as 'as is well-known', 'as we have seen', or 'in other words'." (ibid)²⁰⁰ Besides, when the translator is wording TLT, he constantly carries out a readability (comprehensibility) test of the text he is producing. In this process, he fulfils the function of the implied or potential reader: he reads and tries to ascertain whether the text is clear, understandable and faithful to the original author's

¹⁹⁹ „Wie kann sich ein Autor auf seinen potentiellen Leser einstellen?“ (Gerzymisch-Arbogast 2001: 174).

²⁰⁰ „Dabei geht der Gedanke des *Leserbezugs* von einem Partnerschaftsmodell zwischen Autor und Leser aus, bei dem sich der Autor in seiner Schreib-Situation zunächst von dem distanziert, was er als neue Erkenntnis vermitteln möchte, und sich auf den Wissensstand des Lesers –so wie er ihn erwartet- einstellt, was er durch Formulierungen wie z. B. ‚wie alle wissen...‘, ‚wie wir bereits gesehen haben...‘ oder ‚mit anderen Worten...‘ zum Ausdruck bringt“. (Gerzymisch-Arbogast 2001: 174).

verbalized intention, even if this may sometimes imply the need to maintain text fragments which are ambiguous and obscure in the original. In so doing, the translator self-corrects his work as a measure of quality control. Afterwards, the translator receives feedback from the translation proofreaders and revisers, and adjusts the translated text accordingly.

On the other hand, Fawcett (1997: 46) sees a problem in the amount of information that the translated text communicates to TL readers: “Providing the target audience with enough information to understand the translation can be a headache because the translator has to make often difficult judgments about the readers’ level of sophistication and the degree to which they can be expected to show initiative, while trying to balance out things such as information overload and readability.” And, he adds, “Again these are matters that take translational decision-making beyond the linguistic dimension into such matters as cultural judgments and publishing policy” (ibid). Fawcett’s problem can be better understood within the theoretical framework I am developing here. If the translator, according to the initiator’s translational instructions and the TL valid translational norms, is able to recreate a TLT which respects the original author’s verbalized intention, i.e. by translating in conformity close with the default equivalence position, then the degree of discrepancy in the amount of knowledge expected from SL and TL readers will be equivalent to the existing distance in the general socio-cultural background knowledge between SL and TL communities, provided the world (fictive or real) depicted in SLT is explicitly and openly rooted in the culture of the SL community. Where this is not the case, then the difference (distance) in the amount of knowledge expected from SL and TL readers could be very similar.

It is well-known that when a literary text is translated it acquires a new value in the TL community which is different from the one it had in the SL community by the very fact of being labeled and recognized as a ‘translation’, a textual product which actually comes (or pretends to come, in the case of pseudo-translations) from outside the TL community. Function-oriented translational approaches study the way translations are received in TL communities, whether they are readily accepted and considered to enrich the TL culture or even introduce a new literary genre, whether they are seen as intrusive and obnoxious cultural influences, etc. As Popkova (1982:

30) puts it: “As we all know, the perception of a literary work abroad often differs from the perception at home. And it would be wrong to label such a foreign perception as incorrect: it is completely justified. Furthermore, this foreign perception which takes place at a certain distance allows for a new view of that which cannot be perceived at a closer look. (As the poet says, ‘More can be seen at a distance’).”²⁰¹

4.2.3 Third Level: Textualization

Since the so-called “pragmatic turn” in language studies in the 70s (cf. Helbig 1986), it has been recognized that the linguistic unit of analysis in the communicative interaction is the discourse or text. This new unit of analysis is approached from a brand-new perspective on language use: every chunk of language produced by speakers of any language should be studied within its actual context of production taking into consideration as many intervening factors as possible. Disciplines such as pragmatics, sociolinguistics, psycholinguistics, and text linguistics saw their heyday in this period of the evolution of linguistics. There was a clear interest in overcoming the traditional structural view of linguistics which considered that its proper subject-matter was *la langue* and not *la parole*, in Saussure’s terms. Thus a shift in emphasis from the abstract, idealized linguistic system to actual language use took place. In text linguistics this pragmatic turn is reflected in a new conception of the text. As Brinker (2000: 175) puts it: “The text is no longer considered as an isolated linguistic construction in the structural sense –as in the beginning of text linguistics- but, against the background of Speech Act Theory as derived from the Anglo-Saxon philosophy of language (Austin; Searle), as a complex linguistic action which is embedded in a concrete communicative situation and which is constitutive of a given communicative function.”²⁰²

²⁰¹ «Восприятие литературного произведения за рубежом, как мы знаем, обычно отличается на его родине. И было бы ошибкой квалифицировать такое зарубежное восприятие как неправильное: оно вполне закономерно. Более того, это зарубежное восприятие, осуществляемое с определенной дистанции, позволяет иной раз разглядеть то, что не замечается вблизи («Большое видится на расстоянии» -сказал поэт)». (Popkova 1982: 30).

²⁰² „Der Text wird nicht mehr als isoliertes sprachliches Gebilde im strukturalistischen Sinne betrachtet –wie in den Anfängen der Textlinguistik- sondern vor dem Hintergrund der angelsächsischen Sprachphilosophie entstandenen Sprechakttheorie (Austin; Searle) als eine komplexe sprachliche

Within translation studies, a communicative textual approach to translation had already been explicitly discussed by Hartmann (1980: 51): “The point I hope to have made is also an important fact in translation. Just as we communicate in texts, we cannot translate isolated words or sentences unless they are part of a complete discourse which is usually embedded in a particular context of situation.” Coseriu (1977: 215) had also pointed in the same direction: “And, as to the state of the art in research, the task is not easy because, strictly speaking, the theory of translation should be a section of *text linguistics*, and this discipline, in spite of its advances in recent years, is still in its early stages.”²⁰³

In a modern text linguistic approach which considers the text as the linguistic realization of a communicative act, Brinker (2000: 164) presents a very useful distinction –for translational purposes- of the text dimensions within a speech act perspective: “The constitutive notion of the speech act in speech act theory, and its division into different partial acts (approximately into an illocutionary, a propositional and an expressive act in Searle), can constitute the theoretical-conceptual basis for the analytical distinction of three levels of textual description [...]: the communicative pragmatic, the thematic, and the grammatical description levels.”²⁰⁴ In my DTM proposal, the following levels have also been taken into account for translational purposes for the textual description of SLT and TLT: the communicative-pragmatic level (pragmatic dimension), the thematic level (the semantic dimension, which in my proposal includes other semantic phenomena, besides text topic sequences, generally studied under the heading of text coherence), and the grammatical level (the stylistic dimension, which includes not only grammatical but also lexical-related and in general cohesion-related phenomena). I also include a fourth dimension, the semiotic one, not traditionally included in text linguistic analysis: this dimension encompasses the use of non-verbal signs as textual

Handlung bestimmt, die in eine konkrete Kommunikationssituation eingebettet ist und für eine bestimmte kommunikative Funktion konstitutiv ist“. (Brinker 2000: 175).

²⁰³ “Y en cuanto al estado de la investigación, la tarea no es fácil porque la teoría de la traducción debería, en rigor, ser una sección de la *lingüística del texto* y ésta, a pesar de los progresos de los últimos años, se encuentra todavía en sus comienzos”. (Coseriu 1977: 215).

²⁰⁴ „Der für die Sprechakttheorie konstitutive Begriff des Sprechakts und seine Ausgliederung in verschiedene Teilakte (etwa in einen illokutionären Akt, einen propositionalen Akt und einen Äußerungsakt bei Searle) kann die theoretisch-begriffliche Basis für die analytische Unterscheidung

constituents which in fact may be crucial text components for translational purposes. I also consider that, as translation is a pragmatically-oriented activity, the textual pragmatic level is the highest textual dimension to which the other dimensions are subordinated, i.e., the pragmatic dimension dictates how the text is to be verbalized because it reflects the author's verbalized communicative purpose. And at the pragmatic level, despite the possibility of different communicative purposes being activated by the text's author, there is always a dominant communicative intention which orients the linguistic realization of the other text dimensions. For Brinker, "the dominant illocutionary act characterizes the general goal, or general communicative function of the text" (ibid: 177)²⁰⁵.

4.2.3.1 SL and TL Linguistic Systemic and Textual Typological Norms

As pointed out above (cf. 4.2.1.1), translational norms are made up of linguistic and cultural norms. Linguistic norms are language systemic and textual typological norms. Language systemic norms have been studied at the different linguistic levels, especially in contrastive or comparative linguistic research, for instance, semantic-oriented research on informational density in German, English and Norwegian by Doherty (1996) and Fabricius-Hansen (1996); syntactic word order in Russian and English by Cernjachovskaja (1977), lexical-related problems in verb tenses and modes in German, English and French by Zuschlag (2002), and an overview of diverse systemic contrastive problems in different world languages into which the Bible has been translated by Nida and Taber (1969/1982). The results of these comparative linguistic studies are very important for translational purposes because they help translators to determine to what extent SL and TL systems coincide and diverge in the linguistic expressive resources available to them at the different textual levels (pragmatic, semantic, stylistic and semiotic). Many translational problems amateurs and professional translators face have to do with what the structural 'attraction force' that SLT exerts on translators, i.e. the tendency to 'transfer' and

von drei Ebenen der Textbeschreibung bilden, [...] der kommunikativ-pragmatischen, der thematischen und der grammatischen Beschreibungsebene". (Brinker 2000: 164).

²⁰⁵ „Die dominierende illokutive Handlung bezeichnet dann das Gesamtziel bzw. die kommunikative Gesamtfunktion des Textes“. (Brinker 2000: 177).

reproduce in TLT the stylistic patterns (syntactic and lexical) of the original, thereby creating a ‘translation language’, which clearly deviates from TL stylistic patterns and is generally referred to as ‘translationese’. This stylistic transfer may be justified if there is a translational norm or instruction by the initiator which demands its use as a means to produce a specific effect of ‘strangeness’ on the TL community.

On the other hand, as regards textual typological norms, one can subscribe to Kurz’ claim that “since on principle all texts as texts can be considered part of the subject-matter of linguistics, the concept of text makes it possible to bring together once again linguistics and literary studies, which were programmatically separated in the 60s.”²⁰⁶ Thus, it is clear that technical-scientific, everyday conversational and literary texts share the quality of being perceivable in an integrated way, within a text linguistic approach, as ‘texts’. A text typology seeks to show the main divisions of texts within a specific community. These divisions differ in the terminology used: sometimes the typology talks about text *types*, text *classes* or simply *genres*. For Biber (1989: 6), ‘genres’ correspond to a folk typology according to which “genres are the text categories readily distinguished by native speakers of a language; for example, the genres of English include novels, newspaper articles, editorials, academic articles, public speeches, radio broadcasts, and everyday conversations. These categories are defined primarily on the basis of external format”, whereas ‘text types’ are scientific categories which “are identified quantitatively in such a way that the texts in a type all share frequent use of the same set of co-occurring linguistic features. Because co-occurrence reflects shared function, the resulting types are coherent in their linguistic form and communicative functions” (ibid).

The conventional and normative nature of text types or genres has been stressed by Hatim and Mason (1990/1997: 69) in these terms: “Genres are ‘conventionalized forms of texts’ which reflect the functions and goals involved in particular social occasions as well as the purposes of the participants in them (Kress 1985: 19). From a socio-semiotic point of view, this particular use of language is best viewed in terms of norms which are internalized as part of the ability to

²⁰⁶ „Da prinzipiell alle Texte als Texte auch unter den Gegenstandsbereich der Sprachwissenschaft fallen, kommt es im Zeichen des Textbegriffs wieder zu einer Annäherung von Sprach- und Literaturwissenschaft, die Ende der 60er Jahre noch programmatisch getrennt wurden“. (Kurz 2000: 210).

communicate.” Thus, when speakers want to transmit their communicative purposes, they resort to their knowledge about the text types or genres which are available in their community to fulfil such purposes. The pragmatic, action-oriented communicative point of view I am presenting in this proposal would follow Brinker’s definition of text types, which encompasses their prototypical nature and their pragmatic, stylistic structural and semantic characteristics, as well as their contextual determination: “Text types are conventionally valid patterns for carrying out complex linguistic actions and can be described as typical connections between contextual (situational), communicative functional and structural (grammatical and thematic) features. They have developed historically in the linguistic community and belong to the everyday knowledge of this community’s members; they have a normative effect, but at the same time they facilitate interaction within the community by providing the interlocutors with more or less strong guidelines for the production and reception of texts.”²⁰⁷ Besides, Biber (1988) and Heinemann and Viehweger (1991) coincide in their claim that text typologies cannot be established based on a dichotomous approach, but only on the basis of a multidimensional approach, and they also underline that speakers have textual knowledge about the prototypical representations at the different text levels: “As it is clearly difficult –if not completely impossible- to develop a text typology based on only one criterion and to differentiate diverse text types without contradictions, our initial assumption is that knowledge of text patterns is materialized by the multidimensional assignment of prototypical representations at the different levels (strata)” (Heinemann and Viehweger 1991: 147)²⁰⁸.

According to Heinemann (2000), different theories on text typology have been proposed. The first one was the grammatical structural model which attempted to define text types exclusively based on linguistic relational indexes such as sentence

²⁰⁷ „Textsorten sind konventionell geltende Muster für komplexe sprachliche Handlungen und lassen sich als jeweils typische Verbindungen von kontextuellen (situativen), kommunikativ-funktionalen und strukturellen (grammatischen und textuellen) Merkmalen beschreiben. Sie haben sich in der Sprachgemeinschaft historisch entwickelt und gehören zum Alltagswissen der Sprachteilhaber; sie besitzen zwar eine normierende Wirkung, erleichtern aber zugleich den kommunikativen Umgang, indem sie den Kommunizierenden mehr oder weniger feste Orientierungen für die Produktion und Rezeption von Texten geben“. (Brinker 2001: 135).

²⁰⁸ „Da es offenkundig schwierig –wenn nicht überhaupt unmöglich- ist, eine Texttypologie auf der Basis eines einzigen Kriteriums zu entwickeln und unterschiedliche Textklassen widerspruchsfrei voneinander abzuheben, gehen wir von der Annahme aus, daß das Textmusterwissen durch

complexity, substitution types, deixis, etc. (ibid: 509). Then a semantic proposal was made, the thematic model, which studied the semantic sequences in texts as the expression of some ideally typical norms for text formation. A text typology has been proposed where descriptive, narrative, expository, argumentative and instructional texts are distinguished (ibid: 510). With the advent of the pragmatic turn, a new text typological view of functional models emerged where the communicative functioning of texts is considered the basis for text typological differentiations because texts can only be produced when speakers want to produce an effect on receivers (changes in their opinions, their knowledge and their actions). These models are based on Bühler's communication model, on Leontiev's action model and on Searle's speech act theory (ibid: 511). Within this framework the text function corresponds to the text producer's intention or goal. Brinker's textual approach is located within this pragmatic communicative framework. For Brinker (2001: 99), the text function is marked by specific textual and contextual means which he proposes to call 'indicators of textual functions', by analogy with the 'illocutionary indicators' of speech act theory. There are three types of textual indicators: 1) linguistic forms and structures the sender uses in order to establish his intended communicative contact with the receiver; 2) linguistic forms and structures where the sender expresses his opinion about the text content or topic, and 3) contextual indicators such as the institutional framework of a text, the background knowledge on the text content, etc. (ibid: 100). Besides, Brinker distinguishes five general basic textual functions: informative (I [the sender] inform you [the receiver] about an event [text content]); appellative (I [the sender] ask you [the receiver] to accept an opinion or to do something); obligatory (I [the sender] oblige myself [before the receiver] to do something); contact (the sender makes it clear to the receiver that there is a personal contact with the receiver, which he wants to establish or maintain); declarative (the sender makes it clear to the receiver that the text creates a new reality; that the expression of the text means the introduction of certain facts).

In translation studies, one of the first text typological proposals within a pragmatic perspective was made by Reiss (1971/2000). Her textual typology was

multidimensionale Zuordnungen von prototypischen Repräsentationen auf unterschiedlichen Ebenen (Schichten) zustandekommt". (Heinemann and Viehweger 1991: 147).

based on K. Bühler's statement that "language serves simultaneously to *represent* (objectively), *express* (subjectively) and *appeal* (persuasively)" (Reiss, *ibid*: 25). Consequently she classified texts into three basic types: the *content-focused type* (representation-informative) which "would include press releases and comments, news reports, commercial and correspondence, inventories of merchandise, operating instructions, directions for use, patent specifications, treaties, official documents, educational works, non-fiction books of all sorts, essays, reports, theses, and specialized literature in the humanities, the natural sciences, and other technical fields" (*ibid*: 27); the *form-focused type* (expression-expressive): "In general 'form' is concerned with *how* an author expresses himself, as distinct from 'content,' which deals with what an author says" (*ibid*: 31).

Thus in a form-focused text [persuasion-operative] the translator will not mimic slavishly (adopt) the forms of the source language, but rather appreciate the form of the source language and be inspired by it to discover an analogous form in the target language, one which will elicit a similar response in the reader. For this reason we characterize form-focused texts as *source language oriented texts*" (*ibid*: 33).

To sum up, on the basis of the proposed principles, "we may say that form-focused texts include literary prose (essays, biographies, belles lettres), imaginative prose (anecdotes, short stories, novellas, romances), and poetry in all its forms (from the didactic to balladry to the purely sentimental)" (*ibid*: 35). As for Reiss' third text type, "*Appeal-focused texts* do not simply convey certain information in a linguistic form; they are distinctive in always presenting information with a particular perspective, an explicit purpose, involving a *non-linguistic* result" (*ibid*: 38). "What kinds of text should be assigned to this type? The above definition suggests they would include all texts in which the element of appeal is dominant, with advertising, publicity, preaching, propaganda, polemic, demagoguery or satire providing either the purpose or linguistic means of expression" (*ibid*: 39).

A fourth type of text was also proposed by Reiss: the audio-medial text: "[These texts] are distinctive in their dependence on non-linguistic (technical media) and on graphic, acoustic, and visual kinds of expression. It is only in combination with them that the whole complex literary form realizes its full potential" (*ibid*: 43).

“What kinds of text belong to this type? [...] Primary examples would be radio and television scripts, such as radio newscasts and reports, topical surveys and dramatic productions. In these not only grammar and elocution but also acoustics (as in dramatic productions) and visual aids (in television and films) plays a significant role” (ibid: 44).

Despite the fact that K. Reiss’ text typology was initially proposed more than thirty years ago, it is still considered a valid and useful point of reference for translating, translation criticism and translation teaching. Some more recent proposals (cf. Snell-Hornby 1988; Biber 1989; Brinker 2000, 2001; Heinemann 2000), which underline the prototypical nature of a translation text typology²⁰⁹, where a cline or spectrum going from literary to scientific texts is suggested, may have a sounder theoretical explanatory power for a modern translation text typology; however, their actual application in translation criticism and teaching still poses some problems. This may be due to the fact that what is gained in a text proto-typology which erases clear-cut boundaries between texts (i.e. that overemphasizes the “blurred edges”) in an attempt to address the real intermingled existence of texts, becomes a problem when, for critical or pedagogical purposes, it is absolutely necessary to resort to some kind of classification in order to be able to handle individual tokens of text types.

To sum up, in my DTM proposal I consider that in fact there is a cline of textual prototypes going from the technical-scientific through the everyday conversational to the literary text. And, despite the fact that genres/text types (within literary and everyday cognitive frameworks) are not necessarily distinguished scientifically by certain specific linguistic features –as Biber would like them to be– for translational purposes they are valid working categories to the extent that they correspond to prototypical patterns for linguistic action within certain communicative situations where speakers want to reach other members of their speech community. The guiding principle for the translator to carry out his translational task will be the *illocutionary textual indicators* which reflect the original author’s intention, the

²⁰⁹ For Neubert and Shreve (1992: 130), “A prototype is not a text even though it has accrued from the experience of texts. A prototype is a socially conditioned mode of organizing knowledge in spoken or written discourse.” Besides, “as a practical matter, translators engage in prototype analysis by collecting and studying examples of the texts that their readers and clients actually use.” (ibid: 134).

overall textual function, verbalized at the different textual levels (semantic, stylistic and semiotic) in a certain text type or genre. And, as I have said throughout this chapter, the translator will follow the *default equivalence position*, guided by the SL illocutionary textual indicators, to recreate the original's equivalence sequence in TLT unless there are valid translational norms and translational instructions by the initiator, which partially or totally override the original author's verbalized communicative purpose. In case there is no corresponding text type in the TL community, the translator and the Compulsory Translational Forces (ITI and TL-VTN) will determine if an existing text type can be adapted to fit the original or if a brand-new text type can be 'imported' from the SL community with minor or huge modifications. As to the distinction between descriptive, narrative, argumentative, explicative and instructional texts, I do not see them as text types proper, but rather as discursive modes that can be activated in different text types. For instance, a narrative can display, besides typical narrative features (e.g. past tense, characters, events, plot, narrator, etc.), also descriptions, and forms of explications, argumentations and instructions. The important thing for translation purposes is that the translator recognize these discursive modes and recreate them in TLT according to the corresponding norms for discursive modes, which may be more or less general but with some peculiarities (cf. e.g. Hatim 1997, concerning argumentation patterns in Arabic and English).

Once a specific text type has been identified, some textual features can be further analyzed by using Genette's (1982: 9) textual terminology and conceptualization. *Para-texts*, for instance text title, subtitle, inter-title, prefaces, postscripts, etc.; marginal notes, footnotes, final notes; epigraphs, illustrations, jacket, etc., are text structural features which by default may coincide between SL and TL texts belonging to the same text type. However, according to the translation strategy implemented by the translator, the addition of some para-texts not present in the original may be required in the translated text, as for example in literary texts where the translator (on his own initiative or following translational norms or the initiator's instructions) may decide to keep many culture-bound source language words by using a foreignizing translation strategy. In order to ensure that target language readers grasp at least some of the original's meaning, the translator may decide to include

footnotes or final notes, not present in the original, to facilitate the comprehension of strikingly unfamiliar terms due to the cultural distance between SL and TL communities. These added notes can have a descriptive or a more elaborate explanatory content.

A *meta-text* refers to the commentaries or to what is generally considered the genre of literary criticism. It is an additional text in which critical commentaries are formulated with regard to the original. I think the category of meta-texts is also very important in translation studies because, depending on the text type, it can provide interesting insights for understanding the content of SLT and some cues as to the translation of key concepts. When translating a literary text, for instance, we can find very useful information with regard to the author's work, the literary movement or tradition he belongs to, and the impact SLT has had in the source language community. In the case of the translation of informative texts, meta-texts can also be a very valuable resource in order to better understand the content and the importance of SLT.

Finally, *intertexts* are defined by Genette as a relationship of co-presence between two or more texts, i.e. by the actual presence of one text in another (ibid: 8). The most explicit and literal form of intertextuality is the *quotation*; a less explicit and less canonical form is *plagiarism*, and an even less explicit and less literal form is *allusion* (ibid). Quotations are generally a common textual feature in informative texts. They are used as a kind of 'reinforcing' strategy, so that the writer's dictum is backed up by the voice of an expert or someone with firsthand experience. Allusions are often present in literary texts which activate and exploit this intertextual resource. The translator has to be very aware of these subtle textual mechanisms, as they can easily escape an inexperienced reader.

4.2.3.2 Text Pragmatic Dimension: Textual Illocutionary Indicators (TII)

For Dressler (1984: 65), text pragmatics has to do with the relationship between 1) speaker/writer, 2) listener/reader, and 3) speech/writing/reading situation. With regard to the first aspect, as I have also postulated in my proposal if the Default Equivalence Position holds, "the translator must necessarily maintain throughout the

text the communicative intention expressed by the author...’’²¹⁰ This means that the translator should recognize the author’s intention and the text’s ‘illocutionary force’ in order to express it in TL (ibid). This illocutionary (intentional) force in the text, which corresponds to a macro-speech act, is not expressed as a unit but as a sequence of speech acts, and “the interrelationship of speech acts within sequences leads to the notion of the *illocutionary structure* of a text, determining its progression and supporting its coherence” (Hatim and Mason 1990/1997: 77).

In DTM the textual illocutionary force corresponds to the *Textual Illocutionary Indicators* (TII), which are the linguistic traces left by the author in the textual verbalization. These illocutionary textual indicators can range from explicit performatives, which in Searle’s (2002: 86) terms are illocutionary acts that “can be performed by uttering a sentence containing an expression that names the type of speech act, as in, for example, ‘I order you to leave the room’”, to other kinds of illocutionary indicators where the original’s implied author leaves traces of his intended subjectivity/objectivity as he fulfils his communicative purpose, or to apparently unmarked illocutionary textual indicators, when no explicit traces are present in SLT. The explicit illocutionary indicators are related to the text’s modality resources which sometimes are also referred to as ‘hedges’. According to Schäffner (1998:185), “hedges are defined by Lakoff (1973: 471) as ‘words whose meanings implicitly involve fuzziness’ or ‘words whose job it is to make things fuzzier or less fuzzy’. Fuzziness can be related to vagueness, indeterminateness, variation of sense, which are constitutive characteristics of natural languages.” As examples of hedging devices, Schäffner mentions “verbs with modal meaning (e.g. think, suggest), adverbs (e.g. just, obviously), downtoners (e.g. kind of, in this respect), approximating expressions (e.g. this is about right) and also metalinguistic comments (e.g. I must say)” (ibid: 187).

It is important to reiterate, as Sager (1997: 28) says, that “faced with documents, translators have to decide whether the intention accompanying the original text is also the intention of the target text or whether, in the translation specification received from the commissioner of the translations, a new intention has

²¹⁰ „Was den ersten Punkt betrifft, so muß der Sprachmittler unbedingt durch den ganzen Text die ausgedrückte kommunikative Intention des Autors des Originaltexts bewahren“. (Dressler 1984: 65).

been indicated”. In terms of my proposal, it is necessary to determine whether the original author’s intention will be respected or whether it will be overridden by the Compulsory Translational Forces (TL Valid Translational Norms and Initiator’s Translational Instructions), in which case the Default Equivalence Position with the corresponding adherence to SLT illocutionary indicators may not apply. At this point it is also necessary to clarify that languages do not activate the same discourse strategies to express a similar illocutionary force. For instance, House (1998: 62) has discussed how politeness rules seem to be “interpreted differently in the German and Anglophone linguacultures: the politeness rule ‘Don’t impose’ is given different values in the realisation of certain speech acts. The rule ‘Give options’ is also interpreted differently due to a preference for higher directness levels and explicitness of content in German. The rule ‘Be friendly’ in particular is interpreted and realized differently in the German linguaculture given a preference of (explicated) content over addresses, self-referencing over other referencing, reduced reliance on conversational routines and greater directness in speech-act realization.” Thus, translators may resort to different discourse resources e.g. indirectness, explicitness, etc. to express a similar illocutionary force between SLT and TLT.

On the other hand, as Kupsch-Losereit and Kußmaul (1982:96) put it, “The illocutionary act materializes the sender’s communicative intention oriented to the receiver. Translational problems mainly arise when the illocutionary force is realized by an illocutionary indicator and when there are no formal correspondences for the SL indicator in TL.”²¹¹ It is part of the translator’s task to identify the best way to recreate the original’s communicative purpose in TLT, given the fact that SL and TL linguistic means and resources for expressing an author’s intention generally vary to a greater or lesser degree. Besides, as regards the effect (perlocution) on TL receivers, Hickey (1998: 218) claims that “In studying perlocution in translation, let us keep in mind that a translator is not concerned with real effects (if any) produced on real readers (if any) of the TT, but only with the potential effects.” And, he adds, “a translator must examine all potential perlocutions (the effects and responses

²¹¹ „Im Illokutionsakt verwirklicht sich die auf den Empfänger bezogene kommunikative Intention des Senders. Übersetzungsprobleme ergeben sich vor allem dann, wenn die Illokutionskraft durch einen Illokutionsindikator verdeutlicht wird und wenn für den AS-Indikator keine formellen Entsprechungen in der ZS vorhanden sind“. (Kupsch-Losereit and Kußmaul 1982: 96).

reasonably predictable –on the basis of the common trigger or cause- in or on the mind, imagination, feelings or actions of a reader of the TT) as a check to ensure that perlocutionary equivalence –‘perlocutionary analogy’ might be a more accurate term- has been achieved” (ibid: 219).

As stated above with regard to the primacy of the text pragmatic dimension, a translated text is said to be equivalent to the original –if the default equivalence position applies- basically if the SLT author’s intention is maintained in the translating process and reproduced and perceived as such by the TLT readers. Thus the degree of faithfulness to the original, pragmatically speaking, will increase as the number of cases of TLT downgrading or upgrading, not present in SLT, decreases or, ideally, approaches zero. In other words, in cases where some fragments of SLT present a neutral position as to modality markers, i.e., when there are only representational statements with no visible illocutionary indicator, the translator should not modify this illocutionary structure in TLT by arbitrarily adding downgrading or upgrading markers.

In my proposal, the translator’s task consists in comprehending the original author’s predominant communicative intention verbalized in a specific text type. This prevailing communicative purpose is reflected in textual illocutionary indicators which correspond linguistically to direct or indirect speech acts and, in general to the textual modality markers or hedges e.g. modal verbs, modal particles, adverbs, approximating expressions and metalinguistic comments. Thus, a crucial aspect in this dimension has to do with the modality markers which indicate if the SLT author’s intention and expressed subjectivity, that ranges from practically zero presence to a strong presence, has been maintained, slightly altered or wholly modified in TLT, thereby changing one of the most important elements of SLT sender’s intentionality. Two concepts worked out by House and Kasper (1981) to deal with the pragmatics of politeness markers in English and German prove very useful also in describing the text pragmatic dimension in DTM.

Downgraders. They are “markers which play down the impact X’s utterance is likely to have on Y” (House and Kasper 1981: 166-167). In my proposal I would say that downgraders are text modality markers which play down the impact an SLT

expression is likely to have on TLT readers. If the default equivalence position holds, the original author's verbalized intention in SLT is to be respected in TLT.

Upgraders. They are “modality markers which increase the force of the impact an utterance is likely to have on the addressee” (ibid). For my purposes, they are text modality markers which increase the force of the impact an SLT utterance is likely to have on the TLT addressees.

4.2.3.3 Text Semantic Dimension

As Neubert and Shreve (1992: 23) claim, “In the text-linguistic model meaning is not sentence-bound. The model locates and distributes meaning equivalence throughout the text. Instead of being isolated in words and sentences, meaning is also carried globally in the text. What is actually carried over into the target text during translation is the composite semantic value and pragmatic function of the source text. [...] The surface structure of the reconstruction is not a sentence by sentence rendering of the original. It is a top-down recreation of the text through the purposeful selection of target language resources.” The ‘purposeful selection’ the translator does in TLT corresponds to the determining pragmatic parameter of the original author's verbalized communicative intention. Thus, the semantic dimension comes immediately next to the prevailing textual pragmatic communicative function, which also means that the semantic as well as the stylistic dimensions can be modified to a greater or lesser extent in the equivalence recreation of TLT by the translator. Thus, semantically speaking, the world (fictive or real) depicted in SLT is recreated in TLT with the required linguistic and cultural modifications for it to be comprehended by the TL receivers according to the TL translational norms and the initiator's translational instructions.

Different proposals have been made for apprehending the complex semantic nature of language and its relevance for translational purposes. For instance, Coseriu (1997: 170) distinguishes three semantic concepts: “*Meaning* is the content of the signs and constructions of a language which corresponds to the semantic oppositions which work in this language [...] *Designation* refers to the ‘reality’ (things, facts) or extralinguistic situation [...] And *sense* corresponds to the intention or the goal of the

discourse or of a fragment of a discourse.”²¹² For Coseriu, translational equivalences are always established through designation and sense; even in an apparently ‘immediate’ translation one never goes directly from meaning to meaning (ibid: 171). Even though Coseriu does not establish a hierarchy between designation and sense, in my proposal I consider that sense, the overall intention of the text, is the determining factor in translating and, if necessary, changes in TLT designation (the extralinguistic reality portrayed) may take place.

Komissarov (1999: 47-48) has presented a very insightful proposal about the textual semantic structure, in three dimensions: vertical, horizontal and in-depth. “The textual vertical structure corresponds to its formal-thematic content, which begins with the general purpose or topic of the text that is developed in smaller text fragments: subtopics [...]”; the horizontal structure “is formed by formal and semantic connectors between utterances.” And, “the detailed description of the deep structure of the textual content that reflects the process of construction of speech utterances [acts] and their inclusion in a text has a special meaning for the theory and practice of translation.”²¹³ As regards the semantic vertical structure or the formal-thematic content of a text, some proposals have focused on the distinction between theme (the thing about which something is communicated) and rheme (the thing that is communicated about the theme). But, as Adamzik (2004: 119) says, “This conceptual distinction is very controversial because so far it has not been possible to develop clear criteria to differentiate theme from rheme and thus some different features have been discussed which often do not coincide (what is already known; what has been previously mentioned; what stands at the beginning of a sentence; what

²¹² “El *significado* es el contenido de los signos y de las construcciones de una lengua en cuanto dado por las oposiciones semánticas que funcionan en la lengua considerada [...] La *designación* es la referencia a la ‘realidad’ (cosa, hecho) o situación extralingüística [...] Y el *sentido* es el contenido correspondiente a la intención o al objetivo del discurso o de un fragmento del discurso”. (Coseriu 1997: 170).

²¹³ «Вертикальную структуру текста создает его формально-тематическое содержание, начиная с общего замысла или темы текста, которая развертывается во все более мелких фрагментах текста: подтемах [...] Важную роль в создании целостности текста играет его горизонтальная структура, создаваемая формальными и смысловыми связями между высказываниями [...] Особое значение для теории и практики перевода имеет детальное описание глубинной структуры содержания текста, отражающей процесс построения речевых высказываний и включения их в текста». (Komissarov 1999: 47-48).

is not stressed).”²¹⁴ For translational purposes, Fawcett’s (1997: 88) view helps to orient the translator in the right direction: “So rather than seeing sentence structure simply in terms of theme-rheme, given-new or topic-comment, translators need to be aware of a hierarchy of semantic weighting of information in and between sentences and the function it serves. They need to know what the ‘normal’ order of words is, in so far as there is one, and then to assess the meaning of any changes to that, since in language we convey meaning by doing what is less expected.”

In DTM, the guiding principle of the pragmatic parameter which encompasses the original author’s communicative intention allows for some changes and modifications in the semantic dimension. However, if the equivalence sequence of the original’s illocutionary structure is modified arbitrarily, i.e. outside the framework of TL translational norms and the initiator’s translational instructions, then the semantic alterations are not justified and create a mismatch between what is said and implied or presupposed²¹⁵ in SLT and TLT. In DTM, the following are some of the most important translational semantic phenomena to be taken into consideration in the description of the semantic textual dimension.

Change of semantic network or lexical field. Semantic networks are groups of words which are semantically linked and distributed throughout the text, that ensure overall text coherence and the possibility of being comprehended by SL and TL readers. Alterations in the semantic fields activated in SLT may hinder comprehensibility among the TL readership.

Change of focalization. The canonical or ‘normal’ word order of the original is modified in TLT without a clear reason for that; for instance, the shift from an SLT causative structure to a TLT non-causative structure; an SLT active structure which is made passive in TLT; an SLT agent which is erased in TLT. There can be

²¹⁴ „Dieses Begriffspaar ist selbst sehr umstritten, da es nie gelungen ist, klare Kriterien zur Abgrenzung von Thema und Rhema zu entwickeln und dafür verschiedene Merkmale herangezogen werden, die oft nicht zusammenfallen (das bereits Bekannte, Vorerwähnte; das, was am Satzanfang steht; das was unbetont ist“. (Adamzik 2004: 119).

²¹⁵ For Fawcett (1998: 129), “The point of presupposition is that you save time by not supplying information for which there is no demand, since you believed it to be shared.” He further clarifies, “This is where the translator needs to know not just what presuppositional information may be *lacking* in the target culture, but what presuppositions *exist* in that culture which may ‘proactively’ influence the translation” (ibid: 122).

unconscious changes of focalization when the translator fails to understand a complex structure in the original. The 'normal' or canonical word order can be established by studying SL and TL systemic and textual norms (cf. 4.2.3.1).

Change of meaning. An SLT referent is presented in TLT as a different entity in reality (fictive or actual) without any clear pragmatic reason for doing so: the corresponding 'object', 'quality' or 'action' also exists in the TL community. If there is no equivalent piece of reality in the TL community for the original, a *calque* can be called for –a source of neologisms- or the meaning of an existing word in TL can be modified, broadened or narrowed to cover that of the original word. In extreme cases, a word can be assigned a symbolic value it does not have in its ordinary meaning; for instance, when translating 'the lamb of god' into Eskimo by 'the seal of god.'

Omissions. If the Default Equivalence Position holds, it is assumed that the TLT should reproduce the information contained in SLT, unless there are differences as to the linguistic and systemic norms which allow or demand that some explicit information in SLT be omitted in TLT.

Additions. It is also possible that some information which is implicitly presented in SLT has to be made explicit in TLT. In this case, these additions are punctual and justified. However, if there is no reason for the insertion of new information, and it is systematically added, or omitted for that matter, then it is very likely that one is no longer dealing with a translation but with an adaptation, where the equivalence sequence of the original is not reproduced in the translated text and the original author's verbalized intention is overridden by TL translational norms or the initiator's translational norms.

Lexical semantic discrepancies. There are other cases in which the translator does not find the corresponding TL word with a semantic extension similar to that of the original; for instance, the use of a TL general term instead of the SL specialized term, or the opposite case, when an SL general term is translated by a TL specialized term. These discrepancies may occur occasionally in translating the original; when they occur systematically, they may affect the overall degree of semantic generalization or specialization of the text and thus make it differ from the original.

Change of connectors. Another critical issue at the semantic level has to do with the horizontal semantic content described above by Komissarov, i.e. with the use

of connectors. For Fabricius-Hansen (2000/2001: 331), connectivity is a crucial aspect that ensures text coherence. Besides, she clarifies that “It has to do with a range between maximum explicitness (syndesis) and minimum explicitness (asyndesis).”²¹⁶ For the translator it is very important to familiarize himself with the connectivity patterns in SL and TL at the systemic and textual levels, so that he can decide when an explicit connector in the original should also be explicit -or perhaps implicit- in the translated text. Fabricius-Hansen also proposes a classification of connectors into coordinative (additive e.g. *and*; disjunctive e.g. *or*; and adversative e.g. *but*), concessive (e.g. *although*), causal (e.g. *because*), conditional (e.g. *if*), temporal (e.g. *when*), modal/instrumental (e.g. *by ...ing*) (ibid: 333). Though it is clear that the degree of explicitness of connectors between SLT and TLT may indeed vary, it is also necessary to point out that a change in the *type* of semantic relationship expressed by the connector is generally very difficult to justify.

4.2.3.4 Text Stylistic Dimension

The text stylistic dimension has to do with the way an SL sender verbalizes his communicative intention in a given language. Once an SL sender has decided what he wants to communicate to an SL receiver, he has to select the text type available in his linguistic community which will best serve his purpose. Thus, in order for his verbalization to be successful, the sender has to identify the prototypical form of the text type he intends to produce, taking into account its predominant structural and semantic features and what expressive means are available in his language. Then the sender proceeds to produce a token of the corresponding text type within the framework of the systemic and text typological norms valid in his language (cf. 4.2.3.1). From the stylistic viewpoint, in order to fulfil his communicative intention, the SL sender *chooses* the systemic linguistic means to be used in the text type that will ensure that his intended message reach the SL receiver properly.

When the translator reads and starts comprehending SLT, he is faced with the task of fully understanding the original author’s intended communicative purpose,

²¹⁶ „Es handelt sich hier um eine Skala zwischen maximaler Explizitheit (Syndese) und minimaler Explizitheit (Asyndese)“. (Fabricius-Hansen 2000/2001).

which has been articulated, stylistically speaking, at the text surface in the actual word selection made by the SL author, and at the semantic level in the distribution of meaning throughout the whole text in an indissoluble relationship with the text forms. Thus, in DTM the token of a text type produced by the SL author is articulated as a ‘text sign’ made up of an indissoluble relationship of content and form, whose constitution responds clearly to the author’s illocutionary intention which may have left traces of its presence in the explicit use of illocutionary indicators or markers. When producing a TLT, the translator follows a guiding pragmatic translational principle and recreates the original’s overall communicative purpose by structuring a TL text which reflects this communicative intention as a whole. As the original’s overall intent develops in a linguistic sequence of sentences and paragraphs, the translator attempts to reproduce this pragmatic sequence of illocutions by structuring an equivalence sequence which follows as closely as possible the original. At this point, the semantic and the stylistic textual dimensions are subordinated to the guiding pragmatic principle, so that, if necessary, adjustments can be made in terms of the presentation of content in TLT. And, in the text stylistic dimension, it stands to reason that the recreated text does not have to reflect the stylistic structure of the original because it is a different token of a similar, but not identical, text type in a different language with different systemic and text typological norms. Once it is clear that the translator does not translate ‘directly’ words from one language to another, but via their pragmatic content or illocutionary force, then the controversy between free and literal translation can be dissolved.

Within this communicative pragmatic perspective of style, I would like to stress once again that, as Hatim and Mason (1990/1997) put it, “‘style’ may be seen as the result of motivated choices made by text producers” or, in Spillner’s (1974: 64) terms, “style is conceived as the result of the choices made by an author from among competing possibilities of the linguistic system, and their reconstruction by the text reader. Stylistic effects are produced primarily by the dialectical interaction between the consequences of the selections coded by the author in the text and the reaction by the reader.”²¹⁷ For Spillner, “style belongs in the linguistic field that has as its subject-

²¹⁷ „Stil wird aufgefaßt als das Resultat der Auswahl des Autors aus den konkurrierenden Möglichkeiten des Sprachsystems und der Rekonstituierung durch den textrezipierenden Leser.

matter the study of *linguistic varieties*. Style can only be approached through manifestations of linguistic actions at the level of ‘parole’. Then a basic point of departure is that all utterances/all texts have (or may have) style” (ibid: 74)²¹⁸.

For translational purposes, two aspects should be pointed out. First, as Spillner claims, it is clear that style should be studied within the framework of linguistic varieties, and the disciplines that deal with language variation are basically dialectology (geographical variation in dialects) and sociolinguistics (social variation in genres, jargons, registers, sociolects, etc.)²¹⁹. The descriptive information provided by the results of research in these disciplines proves very useful for the translator who, for instance, may be interested in finding out how the forms of address in two given languages may differ as to their degree of formality or informality. This same criterion of degree of formality may be used to determine which lexical entries are used in more or less formal contexts and their corresponding text types. Likewise, additional information with regard to the description of specialized jargon in technical-scientific or in literary texts can be obtained and used by the translator. Second, some authors believe that in technical texts “style plays no role”, and that “the translation of a text about ‘instructions for use’ fulfils its goal when the information contained in the original is reproduced exactly” (Walter 1992: 305), whereas in a literary text the goal is “also to clearly imitate the special style of the author” (ibid)²²⁰. Here the misunderstanding results from the belief that in any text the content may be expressed ‘precisely’ without paying attention to the way it is worded. I would reiterate that in the text sign content and form constitute an indissoluble semiotic unit. I would rather subscribe to Spillner’s (1984:9) view that “from a pragmatically-oriented approach, it is evident that the stylistic analysis is not

Stileffekte ergeben sich erst im dialektischen Wechselspiel zwischen den in Text kodierten Folgen der durch den Autor getroffenen Auswahl und der Reaktion durch den Leser“. (Spillner 1974: 64).

²¹⁸ „Stil gehört zu jedem Bereich der Linguistik, der sich die Untersuchung *sprachlicher Varietäten* jeder Art zur Ausgabe stellt. Zugänglich ist Stil nur über Manifestationen konkreter Sprachhandlungen auf der Ebene der ‚Parole‘. Dabei ist grundsätzlich davon auszugehen, daß jeder Äußerung / jedem Text die Eigenschaft zukommt, Stil zu haben (oder doch haben zu können)“. (Spillner 1974: 19).

²¹⁹ A comprehensive review of contemporary studies on style and sociolinguistic variation is presented by Eckert and Rickford (2001).

²²⁰ „Bei dem, was eine technische Übersetzung leisten soll, spielt der Stil keine Rolle. Die Übersetzung einer Gebrauchseinleitung hat ihren Zweck dann erreicht, wenn sie die im Original enthaltenden Informationen präzise wieder gibt [...] [die literarische Übersetzung] die die weitergehende Aufgabe zu erfüllen hat, auch den speziellen Stil des jeweiligen Autors erkennbar nachzubilden“. (Walter 1992: 305).

restricted to literary texts, but it can also take place properly in the description of everyday language and non-literary text types.”²²¹ Thus, in DTM style is a textual characteristic of all text types from literary through everyday conversations to technical-scientific to the extent that it reflects the original author’s form of verbalization according to his communicative purpose. Depending on the text type which is translated different stylistic means will be activated. In DTM the following parameters could be taken into account in describing the stylistic textual dimension:

Fictionalizing stylistic shifts. This is a stylistic phenomenon that I propose to distinguish as a useful conceptual tool for describing stylistic variation in translations. It corresponds to the translator’s use of more ‘literary or ‘colorful’ expressions in TLT, that do not appear in the original with that stylistic mark. This may be due to TL Valid Translational Norms, to Initiator’s Translational Instructions, or to a translator’s personal aesthetic views, according to which translators consider that the translation of a literary text should be stylistically ‘enhanced’ in order to seem as literary as possible. This ‘literary effect’ can be achieved by using different linguistic means, e.g. introducing metaphors or metaphoric language not present in the original or raising the register of an English TLT by calquing an SLT Latin-based lexicon.

Use of idiomatic expressions. In literary and other text types, idiomatic expressions may well be used as an expressive means by the original’s author. The way idiomatic expressions are translated will depend on the translator’s overall strategy. If the default equivalence position holds, then it is very likely that an SLT idiomatic expression will be recreated in TLT by using a corresponding idiomatic expression which roughly conveys a similar illocutionary force to that of the original. If, on the contrary, the default equivalence position is overridden by the Compulsory Translational Forces (TL Valid Translational Norms and the Initiator’s Translational Instructions), a range of translational possibilities is opened, where, depending on the translational instruction at work, the SL idiomatic expression is recreated by an equivalent TL idiomatic expression (domesticating strategy) or it is not recreated but calqued in TLT in order to allow the TL reader to perceive the strangeness involved

²²¹ „Dennoch zeigt sich gerade im pragmatischen orientierten Bereich, daß Stilanalyse keineswegs auf literarische Texte beschränkt ist, sondern ihren Platz ebenso gut bei der Beschreibung von Alltagssprache und nicht-literarische Textsorten hat“. (Spillner 1984: 9).

in SLT (foreignizing strategy). Or, still other possibilities half-way between a domesticating and a foreignizing translational strategy may be implemented.

Use of figures of speech. Newmark (1988:104) defines the purpose of a metaphor -but it can also be applied to the other figures of speech- as follows: “The purpose of a metaphor is basically twofold: its referential purpose is to describe a mental process or state, a concept, a person, an object, a quality or an action more comprehensively and concisely than is possible in literal or physical language; its pragmatic purpose, which is simultaneous, is to appeal to the senses, to interest, to clarify ‘graphically’, to please, to delight, to surprise. The first purpose is cognitive, the second aesthetic.” As in the case of idiomatic expressions, figures of speech may be translated by more or less closely equivalent TL forms depending on the translation strategy chosen by the translator according to the default equivalence position and the corresponding compulsory translational forces (TL translational norms and the initiator’s translational instructions).

Use of a specific language variety. Each text type will activate some prototypical syntactic and lexical stylistic means. For instance, technical-scientific texts will generally present a specialized vocabulary and simple syntactic structures which the translator has to reproduce in TLT according to the communicative intention of the original’s author. Literary texts are characterized –especially narratives- by the possibility of using the whole range of stylistic expressive means of a language as the different narrative instances created by the author (narrator, implied author, implied reader, and characters) may have a peculiar way of speaking which belongs to their personality traits. Therefore, not only dialects but also sociolects and technolects or specialized jargon may appear as textual markers of literary texts. In poetry, on the other hand, also a specific way of speaking, a ‘poetolect’ in Wandruska’s (1980:88) terms, can be identified.

Change of punctuation. A general feature that can be traced in all text types is the use of punctuation in SLT and TLT. As punctuation norms do not necessarily coincide from one language to the other it is possible to see some changes in the translated text. However, if the translation follows the illocutionary structure of the original it is very likely that no alterations, or else some or many alterations will take place depending on the text type. If the original is translated very closely with the

equivalence default position activated, it is less likely that modifications will occur. In case punctuation changes do occur, these will generally be related to the separation or fusion of sentences and paragraphs.

4.2.3.5 Text semiotic dimension

One of the first authors to deal with the topic of the semiotic component in translation was Jakobson (1959/2000). He differentiated three types of translation: “1) interlingual translation or *rewording* is an interpretation of verbal signs by means of verbal signs of the same language. 2) Interlingual translation or *translation proper* is an interpretation of verbal signs by means of some other language. 3) Intersemiotic translation or *transmutation* is an interpretation of verbal signs by means of signs of nonverbal signs” (ibid: 114). He further explains that this last type of intersemiotic transposition takes place “from one system of signs into another, e.g. from verbal art into music, dance, cinema, or painting (ibid: 118). I agree with Jakobson when he says that type 3 is not translation proper but rather ‘transmutation.’ Thus, it cannot be studied in a translational approach *stricto sensu*.

However, the reflection on the semiotic dimension in DTM has to do with the fact that the text produced by an SL author may be made up of not only verbal but also non-verbal signs. I thus agree with Fix’s (2001: 118) view according to which “against this background linguistic definitions are not satisfactory anymore. Texts should be considered as complex signs of different sign reservoirs. Style as part of the textual meaning arises from the interaction of those signs which belong to different systems.”²²² Generally, the non-verbal signs included in a text, such as illustrations, photographs, graphics, etc., play an important supporting role as complementary and clarifying items. For instance, in technical-scientific texts sometimes very complex verbal descriptions are more easily understood when an accompanying illustration is included. Likewise, instructional texts without illustrations may prove very difficult to understand, thus failing to fulfil their communicative purpose. As said above

²²² „Linguistische Textbegriffe sind vor diesem Hintergrund nicht mehr ausreichend. Texte müssen als Komplexe von Zeichen verschiedener Zeichenvorräte betrachtet werden. Stil als Teil der Textbedeutung entsteht aus dem Zusammenwirken dieser verschiedenen Systemen angehörigen Zeichen“. (Fix 2001: 118).

(cf. 4.2.3.1), this semiotic textual view is materialized in Reiss' (1971/2000) proposal of a fourth audio-medial text type besides form-, content-, and appeal-focused texts. Audio-medial texts combine graphic, acoustic and visual kinds of expression (ibid: 43). Some examples of audio-medial texts would be radio and television scripts, such as radio newscasts and reports, topical surveys and dramatic productions (ibid: 44). In our proposal the following parameter could be taken into account when apprehending the semiotic textual dimension.

Use of non-verbal signs. the non-verbal signs (e.g. illustrations, graphics, tables, etc.) included in an SLT can usually be reproduced without modifications in TLT. However, a very interesting phenomenon may occur when a literary text, for instance a novel with many printings, does not show a fixed illustration on the original's cover, while the translated text does include some illustration on the cover with a specific evocative and connotative meaning. In this case, it would be enlightening to bear in mind Lotman's (1992: 132) semiotic conception of the text as part of the semiotics of culture: "The text presents itself to us not as the realization of communication in a certain language, but as a complex construction which conserves multifarious codes and is able to transform the received messages and create new ones as an information generator which possesses traits of an intellectual personality."²²³ This cultural semiotic approach can be articulated within a functional translational approach which focuses on the specific cultural effects of the translated text on the TL community.

²²³ «В свете сказанного текст предстает перед нами не как реализация сообщения на каком-либо одном языке, а как сложное устройство, хранящее многообразные коды, способное трансформировать получаемые сообщения и порождать новые, как информационный генератор, обладающий чертами интеллектуальной личности». (Lotman 1992: 132)

Conclusions

This research has allowed me to test the main hypothesis I formulated at the beginning of this book, about the possibility and feasibility of developing an overall integrated translational approach in the form of a Dynamic Translation Model (DTM) that would help us to overcome thus far traditionally irreconcilable linguistically- and culture/literature-oriented translational approaches (cf. Chapters 1 and 2). This project was worth undertaking because so far Translation Studies is perceived as a fragmented discipline with too many diverse approaches, which seem to oppose each other explicitly and implicitly, with the immediate consequence that the discipline does not progress coherently in its delimitation process, thereby lacking the status of an autonomous and independent discipline which a common core of theoretical and practical concerns would give it. Perhaps linguistically- and culture/literature-oriented approaches have already provided some of the most useful insights for the autonomous constitution of the discipline, but unfortunately, due to the lack of a coherent holistic and integrated framework, they have not been able to see that they are all dealing with the same overall subject matter, though with varying emphases.

An epistemological mistake that I was able to detect in my review of these trends has to do with the false assumption made by representatives of different translational approaches (both linguistically- and culture/literature-oriented) that *one single* approach might actually account for the *whole* complex reality of translating: the existence of this assumption can be corroborated by the excluding remarks and overgeneralizations made by scholars in these approaches about the actual scope of their research agendas. In order to help overcome this epistemological shortcoming, that confirms the great complexity of translational reality, I have proposed to distinguish a two-stage epistemological move: in a first stage, each translational approach develops its own research interests *acknowledging* that they are only dealing with one portion of the whole subject matter of the discipline, and then, in a second stage, they attempt to locate their research endeavors within a larger holistic

and integrated proposal, such as DTM, in order to show that their contributions are important but that they *do not* exhaust the subject-matter of Translation Studies.

Translation Studies as initially envisaged by Holmes (1972/1988) is a discipline with theoretical and practical interests that are product-, process-, or function-oriented. Unfortunately, as Holmes does not provide an overall integrated framework dealing with the communicative and pragmatic nature of translation, these initial attempts at devising a holistic approach to the discipline were not very successful (cf. Chapter 3). Translating is a very complex linguistic and cultural human activity that should be apprehended in the form of a communicative process that takes place in a socio-cultural context, where social and psychological determinants are activated by the participants therein, and whose communicative activity is materialized in linguistic products (texts). I have attempted to show that in an integrated research endeavor (DTM) that fosters the development of Translation Studies as an independent discipline, there is actually ample room for the different research agendas: product-oriented (mostly linguistically-oriented with emphasis on the equivalence relationship obtaining between SLT and TLT), process-oriented (pragmatically-oriented with emphasis on the communicative or the cognitive nature of translating) and function-oriented (culturally-oriented with emphasis on the conditions of reception by the TL readership). I have also tried to show that each of these research endeavors is legitimate and for them to exist they need not deny the importance and usefulness of the other research agendas. Thus, I disagree with Toury's (1995: 11) overemphasis on function-oriented research to the detriment of product- and process-oriented independent research endeavors. He fails to see that translational research may take place in two stages as suggested above: the first one with an emphasis on developing each independent approach, and the second focusing on an integrated endeavor.

As to the relationship between Translation Studies and linguistics, I was able to show that it is true that Translation Studies is not a linguistic subdiscipline, but it *does* include an unavoidable linguistic component, as translating always implies cultural *and* linguistic exchange. The cultural elements that participate in the translation process have generally been recognized as the so-called extralinguistic elements (cf. e.g. Kade 1977, Jäger 1977, Shveitser 1988, Komissarov 1999).

However, these extralinguistic factors could not be integrated into linguistic studies until linguistics broadened its scientific spectrum, especially since the pragmatic turn of the early 70s, from the concern for linguistic systems to the study of the actual realization of language use and its realization in texts. Then a way was opened to the study of the extralinguistic factors which affect translating as a communicative process. I could also observe that, as is usually the case when a new research perspective is introduced, in the case of the linguistic shift towards the inclusion of socio-cultural contextual factors in the study of language use, outsiders of the discipline –among them, especially translation scholars- were not necessarily aware of it and kept on thinking in terms of the previous paradigm, i.e. they continued viewing only the systemic perspective of *la langue* as the only possibility of studying the linguistic nature of translating and, therefore, tended to neglect or disqualify *all* linguistic approaches to translation without any further differentiation.

Another important issue in Translation Studies has to do with the nature of its methodological approach and the contribution of linguistically-oriented approaches. Here I have advocated an empirical method that allows the analysis and description of the complex translational reality in its diverse product-, process-, and function-oriented perspectives. As Komissarov (1999: 8) puts it, an attempt should be made to “draw generalizations as a result of the observation of real facts” (Komissarov 1999: 8)²²⁴. This means that Translation Studies is not a prescriptive but a descriptive discipline. As regards the practical aspects of the theory for the purposes of translators’ training and translation quality assessment, Translation Studies can provide teachers, students, and critics with theoretical descriptive tools that help them to determine the usual or customary (‘normal’) translational behavior according to the specific variables mentioned in DTM: the initiator’s translational instructions, the TL valid translational norms, the original author’s verbalized intention, and text typological norms (cf. below). In this respect, I would agree with Gruzca’s (1990: 15) view that the subject matter of translation, from an empirical perspective, would correspond to the study of concrete actions carried out by concrete translators as well

²²⁴ «[...] выводятся в результате обобщения реально наблюдаемых фактов». (Komissarov 1999: 8).

as the results of these actions²²⁵. Of course, like any other social behavior, translation is norm-governed, and some subjective evaluation of the translational product is likely to be made in the TL community. To what extent these judgements are exclusively subjective and arbitrary will depend on the amount of ‘empirical’ information that substantiates such views.

I was also able to determine that some of the criticism raised against the ‘empirical’ nature of (linguistic) Translation Studies derives directly from a misguided conception that Translation Studies is similar to an exact science, i.e. that the requirements of verifiability apply as if the objects of translation studies were indeed phenomena subject to natural and physical laws (cf. Apel 1983: 25). Given that this empirical confirmation is doubtful in translation because events are not repeated under identical conditions, then it becomes a matter of doubt whether one is actually dealing with empirical studies or not. I would like to stress again that the term ‘empirical studies’ used to refer to Translation Studies is to be understood not in the traditional sense which it has in the natural or exact sciences (the sense in which Apel and Toury apparently use this term), but as understood in the human sciences, where no law-like predictability is to be expected. ‘Empirical’ here refers to the fact that generalizations are based on the systematic and careful examination of available data. Empirical research in Translation Studies gains in soundness and reliability to the extent that it takes into account relevant real translational cases in process-, product-, and function-oriented approaches. Other authors, and among them especially Venuti (1998), have argued that an empirical linguistic approach dealing with the ‘description of textual features and strategies’ necessarily claims to be objective and to produce value-free results and implies the negation of ‘the creative reproduction of values’. Here I have counter-argued that this *can*, but *need not* be so. The results of the analysis of textual features can –perhaps *should*- be used as evidence of the expression of some specific social values in the translated text. I see linguistically- and culture-and-literature-oriented approaches as having complementary, not opposed research agendas. I agree with Venuti when he says that the explanatory power of these empirically oriented approaches is limited. However,

²²⁵ „Das Forschungsmaterial der Üw bilden, ähnlich wie im Fall der Linguistik, konkrete Handlungsakte konkreter Übersetzer sowie die Ergebnisse dieser Handlungen“. (Grucza 1990: 15).

the explanatory power of culturally oriented studies is also limited if it is restricted to providing only speculative statements on the social values involved in translations without taking into account some (textual) evidence to corroborate them.

I have also shown that modern linguistics, especially use-oriented approaches, e.g. pragmatics, text linguistics, and discourse analysis, provide an adequate framework for studying the linguistic component of Translation Studies which cannot be simply obliterated. This makes it possible also to account for the so-called extralinguistic factors which are located in the socio-cultural context that plays such an important role in the translation process and reception. In this respect, Fawcett (1997: 40) aptly considers that although linguistically-oriented translation theorists “may have not taken the ‘cultural turn’ in his [Lefevere’s] meaning of ideological manipulation in translation, [...] they do not ignore the world beyond the word”. Likewise, the empirical approach that characterizes these linguistic approaches, as seen above, can also be profitably used in Translation Studies as an overall guiding method for the description of product-, process, and function-oriented approaches. Besides, it is clear that these approaches are closely related, and according to Holmes (1988: 81), scholars cannot ignore “the self-evident fact that one is the result of the other, and that the nature of the product cannot be understood without a comprehension of the nature of the process.” As I see it, linguistically-oriented translation studies deal with this end-product, but when it is analyzed, one proceeds retrospectively in order to reconstruct hypothetically the conditions, decisions and choices the translator had to face during the translating process. In so doing, one has to take into account communicative process-contextual (social, historical) variables as well as process-cognitive-related aspects with regard to the problem-solving activity of decoding the original (SLT) and/or coding it again in the target language (TLT).

Culturally-oriented approaches have also provided useful insights for the constitution of an independent Translation Studies. Descriptive Translation Studies (DTS) and Polysystem theory have advanced what Holmes called the ‘sociology of translation’, i.e. the study of the role played by translations in the TL community according to the valid translational norms at any given moment. The concept of translational norms plays an important role in my DTM proposal as one of the key determining factors in the socio-cultural context, and I have proposed to call them

Target Language Valid Translational Norms (TL-VTN). However, we should also acknowledge that these approaches did not help to bridge the gap between translation theory and practice due to their lack of interest in applied translation aspects (translator training and translation quality assessment). As their research interest was mostly function-oriented, they did not elaborate on the equivalence relationship between SLT and TLT either, and therefore even non-translations (pseudo-translations i.e. fictitious translations) were considered as part of their research endeavors. Besides, DTS scholars' exclusive interest in literary texts helped to widen even more the existing gap between literary and linguistic studies, so that no advances towards an integrated approach could occur.

The main contribution by Vermeer's skopos theory to this integrated approach to Translation Studies is his emphasis on the role played by the initiator or commissioner and the importance of the TL readership in the translation process. I have proposed apprehending the initiator's role in DTM by postulating the concept of Initiator's Translational Instructions (ITI). However, I have criticized Vermeer's overgeneralization according to which almost any target-oriented text product (translation proper, adaptations, paraphrases, etc.) is a valid object of study of Translation Studies as long as it is considered the product of translational action, i.e. the realization of a given commissioner's intention or skopos. Here the confusion arises out of a misunderstanding: the fact that sometimes translators are asked to do not only translations but to produce other text types such as summaries or paraphrases does not mean that these other textual products should also be called 'translations'. Besides, one of the main shortcomings of this approach has to do with the disappearance ('dethroning') of the Source Language Text and the original author's intention in favor of the commissioner's intention (skopos) that becomes the only ruling factor in translation.

One of the main contributions by hermeneutic translational approaches to an integrated approach like DTM is their focus on the translator's understanding and interpretation processes as fundamental issues in the translation process. All holistic translational endeavors should include the translator as a key participant in the translation process, as it is he who makes the decisions by which TLT is verbalized. However, caution should be taken not to overemphasize these subjective individual

interpretive processes to the detriment of the role played by the other participants: SL sender/author and TL readership. I have criticized the hermeneutic tenet that meaning is an exclusive production of the interpreter, which thereby denies that there is actually also meaning *in* SLT.

Within the post-structuralist approach, Venuti's distinction between 'domesticating' and 'foreignizing' translational strategies has turned out to be a very useful concept both theoretically and practically. I have used these terms in DTM to characterize the way translators performed their tasks by linking them to TL-VTN. However, I have also criticized the initial differentiation by Venuti because he presented it in dichotomous terms: *either* domesticating *or* foreignizing. Based on the analysis of translational corpora, we can say that translators generally combine these strategies as they see fit according to TL-VTN and ITI; and generally it can be perceived that there is an overall strategy activated throughout the whole translated text. Likewise, I also criticized Venuti's indoctrinating stance, with his view that translators' invisibility was to be overcome by a subversive practice of 'resistance' materialized in the use of 'foreignizing' translational strategies by translators (cf. also Tymoczko 2000). Venuti's views did not foster an integrated approach because he discarded the linguistic component of translation as 'scientific' and focused exclusively on the study of literary texts (cf. Robinson 1997).

Postcolonial studies have provided some very interesting insights into the historical processes that have determined the success of imperial expropriation of indigenous lands and riches by using 'translation' as a very effective linguistic and cultural recourse. In my DTM proposal it is clear that the initiator's decisions (ITI) as to what texts to translate and how translations are to be carried out (TL-VTN) are always ideologically motivated, i.e. they respond to reasons of different nature: political, economic, religious, educational, aesthetic, etc. However, the strategies they propose for counterbalancing this situation are very much in the same line as those proposed by Venuti: foreignizing, showing that the original has elements that resist obliteration in the translated text. A similar stance has been shown in the translation in the feminine by gender-oriented scholars. The issue here is an ethical one: What degree of intervention is legitimate? To what extent do the colonized become colonizers by forceably expropriating the verbalization marks made by the original

author in his text? As in the previous approach, postcolonial authors have also focused on the study of literary texts, so this constitutes a limitation for an overall integrated endeavor unless the theoretical tenets are also applied to the analysis of so-called pragmatic texts.

As shown above, in my holistic DTM proposal, I have attempted to integrate some crucial concepts provided by product-oriented studies (mostly linguistic approaches: the equivalence relationship between SLT and TLT), function-oriented approaches (many of the culture/literature-oriented approaches, especially Descriptive Translation Studies: Target Language Valid Translational Norms or TL-VTN; skopos theory: Initiator's Translational Instructions or ITI; post-structuralist: domesticating vs. foreignizing strategies; and postcolonial translation studies: translational ideological factors), and process-oriented approaches (the Leipzig School: translation as a communicative process; and hermeneutically oriented approaches: the key role played by the translator's and the TL readership's comprehension processes).

In DTM, translation is understood as a historico-culturally-determined bilingual communicative activity which takes place when an SL sender, on his own initiative or on someone else's instructions, produces a text that is received by the translator, an SL receiver who, in turn, produces a TL text which has an equivalent pragmatic value for TL receivers. I was able to show in my proposal that the dynamic translational activity takes place at three mutually-interconnected levels, from the most abstract and complex to the most readily concrete and apprehensible. The outermost level corresponds to the historico-cultural context of both the Source Language (SL) and the Target Language (TL), where participants (initiator, SL sender, translator, TL receiver) perform their roles in the translational bilingual communicative process by means of a continuous decision-making process which, in the case of the translator's task, is materialized at the text linguistic level. There is also a mutual relationship of progressive inclusion of the lowest level, the text, into the next, the communicative translational process, and both of these into the highest, most all-embracing level, the historico-cultural one. The model is dynamic because it allows us to keep track of the flow of translational decisions from the initiator's incipient translational purpose or intention (ITI) within the socio-cultural context

(TL-VTN), through the SL sender's text, to the translator as SL receiver and his TL textualization to the target receiver. DTM is also intended as an integrative construct, a kind of 'map', where textual, communicative, and contextual aspects of translating as a process-, product-, or function-oriented activity can be readily identified, described and, if possible, explained. The model's explanatory power rests on its potential to help locate the different variables affecting the translation process, to understand how they are mutually interconnected, and to discuss which aspects should be moved to the foreground as key factors explaining translators' choices in TL textualization.

In DTM I have also attempted to show the flux of the communicative purposes of the different participants in the translation process. Generally speaking, translating begins when an initiator expresses his communicative purpose or intention (Pi) to have a text translated. The text to be translated has been produced by an author/sender with a specific purpose (Ps) according to the SL language systemic and text typological norms available in the source language. The text (SLT) is textualized (=verbalized) with the author's pragmatic intention as the guiding pattern in the form of a general macro-speech act split up in micro-speech acts expressed in the utterances which make up the text. Some discourse mechanisms are activated, among which the most important are modality (the presence of the enunciating subject in the utterances), polyphony (different voices which are given the floor in the text), and deixis (the 'normal' or 'displaced' personal, temporal and spatial location of the text in relation to the co-text and context –real or possible world). Furthermore, in the case of literary texts a narrator, together with an implied author and an implied reader, are typical instances of narratives. Thus, according to the author's pragmatic intent, the text is structured in the semantic (what is said in a real or possible world), stylistic (how it is said verbally) and semiotic (how it is said by using non-verbal signs) dimensions.

SLT is received by the translator who weighs the original author's verbalized intention against the general and specific text-type-related translational norms valid in the TL community, and the initiator's translational instructions (ITI). Based on his communicative, textual and translational competences, he proceeds to verbalize TLT according to the default equivalence position (DEP, cf. below) and the possible

modifications, implying lesser or greater changes to the original, within the framework of the default compulsory translational forces. Thus, the translator, as a TL author/sender, provides the TLT with the communicative purpose that he thinks balances the original author's intent against the contextual restrictions (translational norms [TL-VTN] and initiator's translational instructions). He verbalizes the text accordingly at the semantic, stylistic and semiotic levels taking into account the TL linguistic systemic and textual typological norms. The TL receiver receives a text which reflects, through the translator's verbalization, the original author's intent, potentially restricted by the compulsory translational forces (translational norms and initiator's translational instructions) at work at that specific historical moment in the TL community. In the socio-cultural context of DTM, translational norms play a crucial role in determining how a translation is to be carried out. I propose to understand Target Language Valid Translational Norms (TL-VTN) as patterns for translational behavior, which are established by diverse powerful instances in a socio-historical context of TL communities, change constantly as communities' values do, and are enforced linguistically by telling translators how to produce texts which are not only systemically correct (according to what is permitted in a given language), and text typologically appropriate (according to existing text-types, that is, involving modifying and/or introducing new text-types), but above all translationally appropriate (according to valid conceptions about what the different translation text-types should be: faithful to the original's form and content, to its form, to its content, to its overall 'motive'; overall domesticating, overall foreignizing, domesticating and foreignizing; adapting, summarizing, paraphrasing, etc.).

I was also able to review and propose a new framework that helps to support the validity and necessity of keeping the concept of equivalence as a key notion in Translation Studies. I consider translational equivalence to be a descriptive concept that links a TLT to its SLT. Equivalence does not mean identity in any respect. Nor is it a *binary* notion as Nida's (formal vs. dynamic equivalence) and Newmark's (semantic vs. communicative) proposals imply, but rather *multifaceted* as Koller suggests. It is a complex concept that needs to be factorized into its different components in order for it to be properly apprehended. Equivalence is a textual relationship of the type Genette calls hypertextuality, i.e. there is a hypotext on which

a hypertext *depends*. The hypotext is the source language text and the hypertext is the target language text. A translation is identified as such if it is possible to follow the equivalence sequence between SLT (hypotext) and TLT (hypertext). In case one finds out that huge interruptions (e.g. of more than one sentence, with omissions, additions, gross semantic changes, etc.) occur in the equivalence sequence, then it is very likely that one is not dealing any more with a translation but with an adaptation.

Equivalence is not static but dynamic. The dynamic nature of translational equivalence can be understood by taking into account historico-cultural contextual variables. The key concept to make the concept of equivalence dynamic is *translational norms*. As Toury (1995: 61) puts it, “the apparent contradiction between any traditional concept of equivalence and the limited model into which a translation has just been claimed to be moulded can only be resolved by postulating that *it is norms that determine the (type and extent of) equivalence manifested by actual translations*” (Toury’s emphasis). In DTM I attempt to show that the translator receives a direct influence from translational norms (both linguistic and non-linguistic) *and* from the initiator’s input (‘translational instruction’) as to how to perform his task. Depending on these variables the translator decides how close the equivalences established between SLT and TLT will be. Only if translational equivalence is envisaged as part of a translator’s decision-making process within the framework of these contextual variables can one actually understand distinctions between translation and adaptations which still do not establish a clear link to the ‘agents’ of translational actions in general and to the translator as the key executor. For instance, when Schreiber (1993: 105) distinguishes between translation and adaptation, he claims that, “for differentiating translation from adaptation it can be said, for the time being, that *translations* have to do with preserving as much as possible (except the SL), whereas *adaptations* have to do with changing specific text features more or less ‘arbitrarily’ (except at least one individual text feature which produces the relationship to the previous text). In other words, whereas translation depends mainly on *invariance requirements*, adaptation is based primarily on *variance requirements*.”²²⁶ Schreiber’s distinction is not dynamic, but static because

²²⁶ „Für die Unterscheidung zwischen Übersetzung und Bearbeitung bleibt also vorläufig festzuhalten, daß es bei *Übersetzungen* darum geht, möglichst viel zu erhalten (außer der Ausgangssprache),

he does not include either the agents of translational action or the socio-cultural contextual variables of translational norms which actually determine the equivalence range of variation between translation proper and adaptation.

I also proposed to distinguish a *default equivalence position* (DEP) which corresponds to the point where translational norms (TL-VTN) and initiator's translational instructions (ITI) stand in a kind of neutralized position in an equivalence range, which allows the translator to respect the communicative purpose (intention) of the original's sender and stick to it. In this case the result is what one would usually call a 'faithful' translation, where the primary guiding parameter for establishing equivalences is provided by the SLT itself according to what it actually says (explicit and implicit meaning). This is what Koller calls 'translation proper'. The translator's task consists in recovering the SL sender's intention (pragmatic dimension) according to what he says (text semantic dimension), and how he says it verbally (stylistic dimension) and non-verbally (semiotic dimension). Likewise, in this case, it is taken for granted by definition that the SLT will fulfil a similar function in the TL community. It is also clear that the translated text cannot fulfil *the same* but only *a similar* function in the target community because it is embedded in a socio-cultural context different from the context of the SL community.

Both SLT and TLT of any text type (e.g. literary, everyday conversational, scientific) have the same textual dimensions, i.e. pragmatic, semantic, stylistic, and semiotic. The content of each dimension will vary from close resemblance to total differentiation. If the *default equivalence position* applies, i.e. TLT is considered a translation proper of SLT, then there should be some strong link between them: the original's communicative intention should remain somehow unaltered, the content of TLT may vary if the target translational -linguistic and cultural- norms call for a modification in order to maintain the SLT's textualized intention, and the stylistic devices will vary as they are bound to the TL text and language typology. Thus, I think that there is clearly a hierarchy between the different text dimensions where equivalences are set up. As long as the *default equivalence position* holds, the

während es bei *Bearbeitungen* darum geht, bestimmte Textmerkmale mehr oder weniger ‚willkürlich‘ zu ändern (außer mindestens einem individuellen Textmerkmal, das den Bezug zum Prätext herstellt). Mit anderen Worten: Während die Übersetzung vor allem auf *Invarianzforderungen* beruht, beruht die Bearbeitung primär auf *Varianzforderungen*“ (Schreiber 1993: 105).

overriding criterion for translating would be pragmatic, i.e. to respect the SL author's/sender's intention textualized in the SLT. This has nothing to do with 'literal' translation, because the textual semantic, stylistic, and semiotic dimensions will be recreated in TLT according to the pragmatic-communicative parameter which characterizes translation as a communicative activity. In other words, the textualization process will also allow -and sometimes demand- macrostructural changes according to the TL systemic and textual typology as well as text internal modifications.

Besides, in DTM I consider that there is a cline of textual prototypes from the technical-scientific through the everyday conversational to the literary text. Despite the fact that genres/text types (within literary and everyday cognitive frameworks) are not necessarily distinguished scientifically by any specific linguistic features –as Biber (1989) would like them to be- for translational purposes they are valid working categories to the extent that they correspond to prototypical patterns for linguistic action within certain communicative situations where speakers want to reach other members of their speech community. The guiding principle for the translator to carry out his translational task will be the *illocutionary textual indicators* which reflect the original author's intention, the overall textual function, verbalized at the different textual dimensions (semantic, stylistic and semiotic) in a certain text type or genre. The translator will follow the *default equivalence position*, guided by the SL illocutionary textual indicators, in order to recreate the original's equivalence sequence in TLT unless there are valid translational norms (TL-VTN) and translational instructions by the initiator (ITI), which partially or totally override the original author's verbalized communicative purpose.

In case there is no corresponding text type in the TL community, the translator and the Compulsory Translational Forces (ITI and TL-VTN) will determine if an existing text type can be adapted to fit the original or if a brand-new text type can be 'imported' from the SL community with minor or huge modifications. As to the distinction between descriptive, narrative, argumentative, explicative and instructional texts, I do not see them as text types proper, but rather as discursive modes that can be activated in different text types. For instance, a narrative can display, besides typical narrative features (e.g. past tense, characters, events, plot,

narrator, etc.), also descriptions, forms of explanation or argumentation, and instructions. The important thing for translation purposes is that the translator recognize these discursive modes and recreate them in TLT according to the corresponding norms of discursive modes which may be more or less general but with some peculiarities (cf. e.g. Hatim 1997, argumentation patterns in Arabic and English). The translator should also analyze other textual realizations that accompany SLT, such as para-texts (titles, subtitles, footnotes, etc.), meta-texts (commentaries), and inter-texts (quotations and allusions) in order to determine if they can or should be recreated in TLT according to TL-VTN and ITI.

As to the limitations and future advances in the integrated translational research approach I have proposed here, I would like to point out that the cognitive models (cf. e.g. Krings 1986, Bell 1991, and Hönig 1993) that have tried to explain the translator's decision-making process can be profitably integrated into this endeavor. They can be understood as an amplification of the translator's component in DTM. Of course, research endeavors in this field should also follow the overall empirical methodological approach I advocate, so that the hypotheses formulated as to the translator's decision-making process in solving translation problems can be tested against data gathered from his activity, as in Think-Aloud Protocols (cf. Jääskeläinen, 2002), for instance, or more recently in a translator's logging keyboard activity (Tirkkonen-Condit 2005).

The explanatory power of the conceptual network made up of the Default Equivalence Position (DEP), the Initiator's Translational Instructions (ITI) and the Target Language Valid Translational Norms (TL-VTN) which I propose as guiding parameters for analyzing the equivalence sequence established by the translator between SLT and TLT should be applied to the analysis of a larger corpus that includes a variety of text types, not only with different translations of the same original text into many languages but also with several translations of the original in the same language. This expanded application would increase its validity. Besides, DTM is conceived as an open model onto which additional textual variables can be projected according to the results of the analysis performed.

Perhaps the most important limitation for the success and usefulness of an integrated approach like the one I am proposing here is that there should be a positive

attitude and willingness on the part of translation scholars to acknowledge that their truths are only partial truths; that the complex subject matter of Translation Studies cannot be accounted for and exhausted from a single perspective despite its degree of elaboration and development (descriptive or explicative); that it makes little sense to insist in obliterating the research endeavors of allegedly opposite approaches. A prospective 'integrated' Translation Studies will be a discipline with ample room for linguistically-oriented concerns about the equivalence relationship that obtains between SLT and TLT, as well as for culture/literature-oriented interests about spelling out the function of translations in TL communities. But, as I hope I have shown in this book, there is also the need to integrate the results of research in cognitively-oriented translational approaches and other disciplines such as linguistics, text linguistics, literary studies, discourse analysis, cultural studies, semiotics, gender studies and postcolonial studies to the extent that they are translationally relevant. Translation Studies emerges as a privileged and independent field of research where the partial interest of other disciplines converge on the study of the complex reality of translating (as product, process, and function) with results that help to advance the discipline theoretically and to develop applied frameworks (e.g. in translators' training and translation quality assessment) that may also improve professional practice. I hope that the integrated DTM framework I propose will be a contribution in this direction and will serve as a guiding and cohesive theoretical device.

7 Bibliography

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8 Zusammenfassung

Die Übersetzungswissenschaft, bzw. Translationswissenschaft, oder auch Translatologie (Eng. *Translation Studies*, Fr. *traductologie, science de la traduction*, Sp. *traductología, ciencia de la traducción*, Rus. *переводоведение*) zeichnet sich durch die Entwicklung zweier Ansätze aus, die dazu tendieren, sich gegenseitig auszuschließen: die linguistisch orientierte und die kulturell-literarisch orientierte Denkrichtung. Generell kann man sagen, dass linguistisch orientierte Übersetzungsansätze als Ausgangspunkt annehmen, dass Übersetzung eine linguistische Operation ist (vgl. Fedorov 1953; Mounin 1963; Reiss 1971/2000; Catford 1965; Albrecht 1973; Wilss 1977; Koller 1992; Neubert & Shreve 1992; Hatim & Mason 1990/1997; Gutt 1995; Baker 1992; Gerzymisch-Arbogast 1994; House 1997, usw.). Die linguistische Natur der Übersetzung wird sowohl auf systemischem als auch auf textuellem Niveau untersucht. Danach wird Übersetzung als eine linguistische Operation angesehen, die darin besteht, die u. a. von der sogenannten Leipziger Schule ausgearbeiteten systemischen und textuellen Äquivalenzen zwischen einem Ausgangstext (AT) und einem Zieltext (ZT) festzulegen. Die kultur-literarisch orientierten Übersetzungsansätze wiederum kritisieren den linguistischen Ansatz, weil er die soziokulturellen Faktoren, die die Übersetzung betreffen und bestimmen, grundsätzlich nicht in Betracht zieht (Venuti 1992; Toury 1995; Vermeer 2000, usw.). Aus dieser Situation zweier sich widersprechender Herangehensweisen in der Übersetzung von Texten erwächst folgendes Problem: Die Übersetzungswissenschaft als eine wissenschaftlich eigenständige Disziplin kann nur weiterentwickelt werden, wenn es einen integrierenden Ansatz gibt, der erlaubt, diese gegensätzlichen Ansätze miteinander zu verbinden und zu kombinieren, damit sie -wie ich es hier anstrebe- sich gegenseitig ergänzen können. Diese Situation hat Renier (1989: 5) treffend beschrieben: "The study of the theory of translation does not appear as a field of research but as an archipelago with many islands and no bridges."

Mit diesem Buch setze ich genau an dieser Problematik an: Das angestrebte Ziel ist der Entwurf eines holistischen Ansatzes, bzw. eines dynamischen Translationsmodells (dTM), das die theoretischen Grundlagen der Übersetzungswissenschaft weiterentwickelt, indem ein holistisch integrierender Übersetzungsrahmen geliefert wird, der dabei hilft, bislang entgegengesetzte Translationsansätze als sich ergänzend zu betrachten. Natürlich schließt dies nicht aus, dass jene Ansätze sich weiterhin auf ihre eigenen Untersuchungsinteressen konzentrieren. Epistemologisch gesehen, bin ich der Meinung, dass die wichtigsten Probleme bei der Verwirklichung eines integrierenden Ansatzes aus der Einstellung resultieren, dass aus einem das Ganze betreffenden Ansatz heraus die *ganze* komplexe Realität des Übersetzens erläutert werden kann. Deshalb schlage ich vor, eine zweiphasige epistemologische Bewegung zu unterscheiden. In der ersten Phase wird der innerhalb des jeweiligen Translationsansatzes betrachtete Gegenstand abgegrenzt und zwar mit den jeweiligen Forschungszielen, d. h. dem Teil der Translationsrealität, der den Spezialisten interessiert. In der zweiten Phase soll angestrebt werden, die Ergebnisse der beiden Translationsansätze in einen holistisch größeren Translationsrahmen, bzw. in ein Translationsmodell zu integrieren, in dem die Wichtigkeit beider Ansätze in unmittelbarem Zusammenhang mit der entsprechenden Übersicht über die Forschungsergebnisse der Disziplin bewertet wird.

Die von mir in dieser Dissertation angestrebten Forschungsziele lauten folgendermaßen: Zuerst ist es wichtig festzustellen, dass der Ausgangspunkt jedes integrierenden Translationsansatzes die Erkenntnis sein muss, dass Übersetzung eine Art der kommunikativen Verwirklichung des Sprachgebrauchs in komplexen soziokulturellen Kontexten ist und dass sie immer aus diesem Verständnis heraus zu untersuchen ist. Zweitens habe ich vor, ein dynamisches Translationsmodell (dTM) zu entwerfen, das die kommunikative Natur der Übersetzung berücksichtigt und die Beschreibungs- und Erklärungskraft der gegenwärtigen Translationsansätze bestärkt, die sich derzeit nahezu exklusiv auf nur einzelne Aspekte der Übersetzung konzentrieren: entweder auf ihren textuell-linguistischen Bestandteil oder auf ihren kontextuell-nicht-linguistischen Bestandteil. Demzufolge versuche ich nachzuweisen,

dass es mithilfe des dynamischen Translationsmodells möglich ist, diese traditionell gegensätzlichen Translationsansätze in einen holistischen Ansatz zu integrieren, der ermöglicht, den wissenschaftlichen Stand der Übersetzungswissenschaft als eine eigenständige Disziplin zu fördern. Das bedingt einen interdisziplinären Ansatz.

Mit dem Vorschlag eines holistischen, integrierenden Ansatzes möchte ich dazu beitragen, die gegenwärtigen Einschätzungen der Übersetzungswissenschaft als eine nicht eigenständige, etwas fragmentarische und sogar chaotische Disziplin (eine schnelle Überprüfung der in den wichtigsten Nachschlagwerken angegebenen Translationsansätze und der zugehörigen Literaturverzeichnisse bestätigt den Mangel an Einigkeit) wenn nicht ganz, so doch wenigstens teilweise zu überwinden. Die Definition, die Charakterisierung und die Erörterung eines solchen integrierenden Ansatzes bedeuten nicht nur Fortschritte auf theoretischem Niveau, indem wir die Phänomene des Übersetzens als Produkt und als Prozess besser verstehen können; sondern auch unser Verständnis der angewandten Translationsbemühungen, bzw. des Translationstrainings und der Translationsbewertung, wird erhöht. Wenn die linguistische Charakterisierung des Übersetzens richtig verstanden wird, ist es möglich, den Studenten zu zeigen, wie der pragmatische und der semantische Inhalt des AT in die ZT übertragen werden muss, wenn eine eigentliche Übersetzung angestrebt wird. Die Studenten sollen die Tatsache beachten, dass das Übersetzen eine kognitive Problemlösung einer Aufgabe ist, die sowohl intuitiv als auch bewusst angegangen werden muss. Im Falle der Übersetzungsbewertung ist es auch sehr wichtig, den Äquivalenzprozess zwischen AT und ZT 'retrospektiv' wiederaufzubauen, d. h. zu rekonstruieren, wie Äquivalenzen hergestellt wurden. Bedeutend ist auch die Erkenntnis, dass bei diesen angewandten Tätigkeiten wie Translationstraining und Translationsbewertung der soziokulturelle Kontext und die Translationsnormen eine bedeutende Rolle spielen und sie sich auf die Art und Weise, wie Äquivalenzen hergestellt werden, auswirken. In bestimmten Fällen (z. B. bei Bearbeitungen, Zusammenfassungen, Parodien) tragen sie auch zur Erklärung der Etablierung bzw. Nicht-Etablierung von Äquivalenzen bei.

Folglich lautet die wichtigste in diesem Buch formulierte Hypothese folgendermaßen: Es ist möglich und realisierbar, einen integrierenden Translationsansatz, bzw. ein dTM in einem pragmatischen und kommunikativen Translationsrahmen zu entwerfen, der uns hilft, bislang traditionell unvereinbare linguistisch und kulturell-literarisch orientierte Translationsansätze zu verbinden und gleichzeitig die theoretischen und angewandten Aspekte der Übersetzungswissenschaft als eine unabhängige und eigenständige Disziplin zu fördern. In diesem Werk schlage ich ein Modell mit empirischem Ansatz vor und beziehe mich damit auf die Thesen von u. a. Neubert & Shreve (1992: 13), die behaupten, dass ein Modell “asserts something about empirical (translational) reality which the researcher intends to prove.” Deshalb ist das Modell nicht arbiträr, denn es basiert auf der Translationsrealität, die es beschreiben und erklären wird. Logisch betrachtet kommt die Beschreibung vor der Erklärung. Dies bedeutet, dass keine Einheit in der wissenschaftlichen Entwicklung der Übersetzungswissenschaft als eine eigenständige Disziplin zu erwarten ist. Aufgrund begrifflicher oder methodischer Gründe könnte das Beschreibungsverfahren der komplexen Translationsphänomene schwer realisierbar sein. Demzufolge können verschiedene Translationsansätze mit ungleichartigen Entwicklungsphasen im gleichen integrierenden Translationsrahmen, bzw. Translationsmodell stattfinden. Es ist möglich, dass einige Beispiele den Gegenstand beschreiben, während andere Beispiele die Erklärung zum Modell liefern. Trotz ihres Entwicklungsniveaus erfahren alle Translationsansätze die o.g. zwei epistemischen Phasen, d. h. zuerst werden die Ergebnisse jedes Forschungsansatzes einzeln nachgeprüft und dann werden sie untersucht und in den holistischen Ansatz integriert.

Theoretisch betrachtet, ist Holmes' (1988d) Skizzierung der Einteilung der deskriptiven Translationsstudien in produkt-, prozess-, und funktionsorientierte Forschungsansätze der Ausgangspunkt meines integrierenden Translationsansatzes. Meiner Meinung nach können diese Forschungsinteressen und -ergebnisse sich gegenseitig ergänzen, wenn sie in einen -wie den von mir hier entworfenen- kohärenten holistischen Translationsansatz integriert werden. Demzufolge können gegenwärtige Translationsansätze als ein Bestandteil einer integrierenden, bzw. eigenständigen Disziplin folgendermaßen neu ‚gelesen‘ werden: produktorientierte

Translationsansätze (besonders alle linguistisch orientierten Ansätze, die die 'Äquivalenz' als ein unentbehrliches und grundlegendes Konzept, das einen AT mit einem ZT verbindet, betrachten), funktionsorientierte Translationsansätze (viele kulturell-literarisch orientierte Ansätze, besonders die Polysystemtheorie, die Manipulationsgruppe, die Skopostheorie, die Translationshandlungstheorie und die postkolonialen Studien, die mit der Rezeption der Übersetzung in den ZS soziokulturellen Kontext, bzw. mit der Übersetzungswirkung auf die ZS-Leser, zu tun haben) und prozessorientierte Ansätze (sowohl philosophisch-hermeneutische, dekonstruktive und poststrukturelle als auch ‚eigentliche‘ kognitiv-orientierte Translationsansätze, deren Forschungsinteresse sich auf die Verständnis- und Darlegungsprozesse des Übersetzers und der ZS-Leser und auf die dabei aktivierten Geistesprozesse konzentrieren). Andererseits schlage ich vor, die Termini ‚theoretisch‘ und ‚angewandt‘ zu verwenden, statt wie üblich von ‚rein‘ und ‚angewandt‘ zu sprechen, da diese mir zu eng mit den ‚exakten‘ Wissenschaften verbunden zu sein scheinen. Im Zusammenhang mit den Translationsansätzen, den ‚reinen‘ Translationsansätzen, die die Translationsrealität nicht mit einbeziehen, haben diese nur einen sehr beschränkten Wert für den wissenschaftlichen Fortschritt der Disziplin. Außerdem verfügen alle angewandten Translationsaktivitäten (wie z. B. Translationstraining und Translationsbewertung) über eine theoretische, allerdings manchmal noch nicht ganz begründete, entwickelte Grundlage.

Ein ausführliches Durchlesen der linguistisch orientierten Übersetzungsansätze zeigt an, dass diese meistens den literarischen Text wegen seiner Komplexität nicht berücksichtigten, weil sie dem Literaturwissenschaftler zusprachen. Der Vorteil der Untersuchung des literarischen Texttyps besteht darin, dass dieser Texttyp fast alle linguistischen Charakteristika (eine weitgehende Skala von dialektalen, soziolektalen und technolektalen Varietäten) aktiviert, die traditionell in nicht-literarischen Texten gefunden werden. Außerdem zeigen solche Texte eine komplexe Erzählstruktur an, die durch eine Zeit-Ort-Struktur ausgezeichnet ist und die die Erfindung einer fiktiven Welt fördert, wo die Stimmen von Personen und Erzähler ausgetauscht werden. Demzufolge sind literarische Texte besonders angemessen für die Ausführung von textuellen Analysen (Beschreibung und Erklärung), weil sie die wichtigsten

textuellen Charakteristika, die in anderen Texten zu finden sind, sozusagen ‚verdichten‘. In diesem methodischen Rahmen ist es auch notwendig zu erwähnen, dass das dTM eine Art von Plan zur Beschreibung der Auswahl von übersetzerischen Äquivalenzverhältnissen ist, die nicht notwendigerweise in jedem Texttyp und seinem Texttokens ähnlich aktiviert werden. Dementsprechend soll ein Fall-zu-Fall-orientierter Ansatz in einem holistischen Translationsvorschlag durchgeführt werden, der die Aktivierung der verschiedenen Translationsaspekte fördert. Andererseits muss ein holistischer integrierender Translationsansatz, der die Eigenständigkeit der Übersetzungswissenschaft befürwortet, die verschiedenen Texttypen von pragmatischen bis zu literarischen Texten in Betracht ziehen und erklären können.

Das Buch wird in vier Kapitel eingeteilt. Kapitel 1 beginnt mit der Diskussion der kulturell-literarisch orientierten Translationsansätze, die traditionell als entgegengesetzte und nicht ergänzende Translationsforschungsansätze konzipiert worden sind. Danach beschreibe ich die linguistisch-empirisch orientierten Translationsansätze und stütze mich auf die nicht allgemein anerkannten Behauptungen, dass sich die Sprachwissenschaft nicht im Speziellen für die Übersetzung interessiert, dass die Leipziger Schule eine wichtige Rolle bei der systemischen Untersuchung der Übersetzung spielt und dass manche linguistischen Translationsansätze die Bedeutung der extralinguistischen Faktoren beim Übersetzen anerkennen. Außerdem erörtere ich die Stellung, die linguistische Translationsansätze im Rahmen von Holmes' deskriptiven Translationsstudien (DTS) als produktorientierte zusammen mit prozess- und funktionsorientierten Ansätzen einnehmen. Manche wichtigen Aspekte bezüglich des umstrittenen wissenschaftlichen Stands der Übersetzungswissenschaft werden hier ebenfalls dargelegt. Im zweiten Teil dieses ersten Kapitels diskutiere ich die gegenwärtige Kritik dieser linguistischen Translationsansätze: die empirische Natur der Übersetzungswissenschaft und die linguistischen Charakteristika der Übersetzung.

Im 2. Kapitel befasse ich mich ausführlich mit den meiner Meinung nach wichtigsten kulturell-literarisch orientierten Translationsansätzen: deskriptive Translationsstudien (DTS), Polysystemstheorie, die Manipulationsgruppe, Skopostheorie und

Translationshandlungstheorie, postkoloniale Studien, Gender Studies und Kannibalismus sind hier Thema. Den jeweils ersten Teil eines Abschnitts widme ich den Ideen, die von den wichtigsten Vertretern dieser translatorischen Trends über bedeutende Aspekte ihrer Translationsansätze geäußert wurden, wobei es sich hier nicht um meine Darlegung handelt, sondern lediglich um eine Wiedergabe. Hierbei habe ich versucht, diese verschiedenen Translationsideen in einem kohärenten, begrifflichen Netz zu artikulieren. Im zweiten Teil jedes Abschnitts habe ich die bedeutendsten Aspekte, die verschiedene Autoren bezüglich dieser Translationsansätze erörtert haben, mit ihren eigenen Worten gesammelt. Am Ende jedes Abschnitts befaße ich mich mit meinen kritischen Bemerkungen in Bezug auf diese Translationsansätze.

Nach der Erörterung der wichtigsten Vorstellungen der linguistisch und der kulturell-literarisch orientierten Translationsansätze widme ich das 3. Kapitel der Diskussion der grundlegenden Aspekte eines holistischen integrierenden Translationsansatzes. Um besser den integrierenden Translationsrahmen verstehen zu können, finde ich es notwendig, sich zuerst noch einmal auf die im ersten Kapitel ausgeführte Diskussion über die von Holmes eingeführte Differenzierung der translatorischen Disziplin zu beziehen. Danach wird eine knappe Analyse der verschiedenen Einstellungen für und gegen einen integrierenden Ansatz sowie eine Analyse von Snell-Hornbys (1988) integrierendem Vorschlag durchgeführt. Endlich, um den Boden für die Erläuterung meines Vorschlags im nächsten Kapitel vorzubereiten, werden die wichtigsten Punkte erörtert, die literarische und pragmatische Texte unterscheiden und die Art und Weise, wie bedeutende Aspekte der literarischen Übersetzung verteidigt und angegriffen worden sind.

Im 4. Kapitel befaße ich mich mit meinem Vorschlag eines dynamischen Translationsmodells (dTM). Bei dem Entwurf des Modells ist es mir klar, dass ich mich auf die Beiträge der linguistisch orientierten Translationsansätze -insbesondere auf das Konzept ‚Äquivalenz‘ und auf die Auffassung der Vertreter der Leipziger Schule über die kommunikative Natur der Translation mit der Einbeziehung der linguistischen und extralinguistischen Faktoren- bezogen habe. Natürlich habe ich

auch manche der in den kulturell-literarisch orientierten Translationsansätzen erörterten Aspekte in Anspruch genommen, insbesondere den soziohistorischen Wert, den die Übersetzungen („rewritings“) in den ZS Kulturen erwerben (Descriptive Translation Studies), die von Translationsaufträger, Übersetzer, und ZS-Leser in der Translationshandlung gespielten Rollen (Skopostheorie), ebenso die Bedeutung der individuellen und subjektiven verständlichen und darlegenden Prozesse des Übersetzers (hermeneutischer Ansatz), die Anerkennung, dass die Bedeutung in der Übersetzung ein komplexes und immer dynamisches Phänomen ist, das in den Köpfen der ZS-Leser bezüglich ihrer persönlichen Erfahrungen vorkommt, (dekonstruktive und poststrukturelle Ansichten) und dass die Übersetzung immer eine auf die Macht bezogene Tätigkeit ist, wobei traditionelle Herrschaft, bzw. die Kolonialschemas wiedererzeugt und verstärkt, angekündigt oder bekämpft werden können (postkoloniale Ansätze, Gender Studies und Kannibalismus). Trotzdem sind die von diesen Translationsansätzen erworbenen Kenntnisse nicht ausreichend, um unseren Translationsansatz vollständig zu entwickeln. Beim Entwurf des Modells wird daher deutlich, dass ich mich auch auf die in anderen Disziplinen ausgearbeiteten Konzepte, wie z. B. in der Textlinguistik, der Literaturwissenschaft, der kontrastiven Textologie, der Soziolinguistik, der Pragmatik und der Semiotik, bezogen habe. Daraus ist zu schließen, dass im Rahmen meines interdisziplinären Vorhabens jede von mir geprüfte Disziplin zusätzliche Kenntnisse zur Bildung meines integrierenden Ansatzes beigetragen hat.

Das Kapitel beginnt mit der Definition eines translatorischen Modells. Anschließend wird die Fokussierung translatorischer Modelle auf die Texte, den Prozess oder den Übersetzer erörtert. Danach wird die globale Struktur und das Funktionieren des dTM auf den folgenden Niveaus -die sich wiederum aufeinander beziehen- beleuchtet: dem historisch-kulturellen Kontext, dem bilingualen kommunikativen Prozess mit der Einbeziehung der Teilnehmer und der Textualisierung. Im Niveau des historisch-kulturellen Kontextes wurden die Konzepte der kulturellen, linguistischen und translatorischen Normen und der Äquivalenz erörtert. Vorgeschlagen wird ein neuer Ansatz für die Analyse der translatorischen Normen und das Konzept der verbindlichen translatorischen Kräfte (vtN), die sowohl ZS-gültige translatorische

Normen (ZS-gtN) als auch die translatorischen Anweisungen des Auftraggebers (tAA) umfassen. Wegen seines umstrittenen Standes wird das Konzept der 'Äquivalenz' ausführlich aus der soziokulturellen Sicht mittels des Begriffs der translatorischen Normen diskutiert, so dass das Konzept nicht mehr ‚statisch‘, sondern ‚dynamisch‘ betrachtet wird. Das typische Missverständnis bezüglich des Begriffs der Äquivalenz als ein mathematisches Konzept wird geklärt/verbalisiert. Verschiedene Äquivalenzansätze mit ihren entsprechenden Kritiken werden vorgestellt. Abschließend wird das Konzept der Äquivalenz im kommunikativ-orientierten dTM erörtert und das Konzept der default Äquivalenzposition (dÄP) vorgeschlagen, um Übersetzungen und Nicht-Übersetzungen (Bearbeitungen, Zusammenfassungen, Parodien, usw.) konzeptuell unterscheiden zu können und als ein methodisches Werkzeug zur Beschreibung der AT und ZT Äquivalenzdiskrepanzen zu benutzen. Im zweiten Niveau werden die verschiedenen, am translatorischen kommunikativen Prozess anwesenden Teilnehmer (Auftraggeber, Autor/Sender, Übersetzer [AS Empfänger und ZS Sender] und ZS-Empfänger) und ihr Einfluss auf den Translationsprozess charakterisiert. Bezüglich der vom Auftraggeber eingenommenen Rolle bei der Übersetzung habe ich die Konzepte der translatorischen Anweisungen des Auftraggebers (tAA) und der translatorischen Normen (ZS-gtN) eingeführt, um die Fälle, bei denen der Übersetzer von der dÄP abweicht und Nicht-Übersetzungen herstellt, erklären zu können. Im dritten Niveau wird der Vertextualisierungsprozess erklärt, bei dem ein AS-Autor einen Text gemäß den verfügbaren Texttypen mit einer bestimmten illokutionären Kraft erzeugt, die seine kommunikative Absicht widerspiegelt und linguistisch durch die von mir benannten textuellen illokutionären Indikatoren (tiT) verwirklicht wird. Dies fördert das Verständnis der Tatsache, dass die textuelle pragmatische Dimension der führende Parameter ist, sodass der Übersetzer Übersetzungen herstellen kann, d. h. damit er Äquivalenzen gemäß der dÄP erzeugt. Die dÄP schreibt vor, wie die anderen textuellen Dimensionen d. h. semantische, stilistische und semiotische, zu verwirklichen sind. Natürlich kann der pragmatische Parameter, der die kommunikative Absicht des Originalautors in der Übersetzung gemäß der dÄP verwirklichten Absicht impliziert, auch durch die ZS-gtN und die tIA neutralisiert

werden, wobei wahrscheinlich eine Nicht-Übersetzung (Bearbeitung, Zusammenfassung, Parodie usw.) hergestellt würde.

Bezüglich der Schlussfolgerungen des Buchs konnte ich die zentrale Hypothese bestätigen, welche die Möglichkeit und Ausführbarkeit der Entwicklung eines allgemeinen integrierenden Translationsansatzes in der Form eines dynamischen Translationsmodells (dTM) in Betracht zieht. Dieser Untersuchungsansatz ist gerechtfertigt, weil Translationsstudien (*Translation Studies*) bisher als eine fragmentierte Disziplin mit scheinbar vielen verschiedenen implizit bzw. explizit gegensätzlichen Ansätzen betrachtet wird, mit der Folge, dass die Abgrenzung und die Konturen der Disziplin nicht kohärent weiterentwickelt werden können und der Status einer autonomen und unabhängigen Disziplin mit einem gemeinsamen Kern von theoretischen und praktischen Problemen noch nicht erreicht wird. Es ist höchst wahrscheinlich, dass linguistisch und kulturell-literarisch orientierte Translationsansätze die tauglichsten Perspektiven für die autonome Bildung der Disziplin geliefert haben. Dennoch, da sie über keinen holistischen und kohärenten integrierenden theoretischen Rahmen verfügten, war nicht klar sichtbar, dass sie sich -trotz mancher spezifischer Emphasen- mit dem gleichen Gegenstand befassen.

Ein epistemologischer Irrtum, den ich in meiner Übersicht dieser Translationsansätze fand, betrifft die falsche Annahme von Vertretern der verschiedenen (sowohl linguistisch als auch kulturell-literarisch orientierten) Translationsansätze, dass ein *einzelner Ansatz* die *ganze* übersetzerische Realität erläutern konnte. Die Existenz dieses Irrtums wurde durch die ausschließenden Bemerkungen und Verallgemeinerungen von den Vertretern dieser Ansätze hinsichtlich der Tragweite ihrer Forschungspläne bestätigt. Um diese epistemologische Beschränkung, die der hohen Komplexität der translatorischen Realität entspricht, überwinden zu können, habe ich vorgeschlagen, eine zweiphasige epistemologische Bewegung zu differenzieren: In der ersten Phase entwickelt jeder Übersetzungsansatz seine eigenen Forschungsinteressen und *erkennt*, dass sie nur einen Teil des *ganzen* Gegenstands der Disziplin umfassen, und in der zweiten Phase streben sie an, ihre Forschungsvorschläge in einen holistischen und integrierenden Ansatz wie das dTM

einzufragen, um nachzuweisen, dass ihre Beiträge wichtig sind, aber dass sie den Gegenstand der Translationsstudien überhaupt *nicht* erschöpfen.

Am Anfang waren die von Holmes (1972/1988) konzipierten Translationsstudien eine produkt-, prozess- und funktionsorientierte Disziplin mit theoretischen und praktischen Interessen. Unglücklicherweise, da Holmes keinen holistischen Rahmen vorschlägt, der die kommunikative und pragmatische Natur der Translation betrifft, waren diese einführenden Versuche zur Elaborierung eines holistischen Ansatzes nicht erfolgreich (vgl. Kapitel 3). Das Übersetzen ist eine äußerst komplexe humane und kulturelle Tätigkeit, die als ein kommunikativer Prozess untersucht werden soll, in dem die Teilnehmer soziale und kulturelle Faktoren aktivieren, deren kommunikative Aktivität in linguistische Produkte (Texte) konkretisiert wird. Ich habe angestrebt nachzuweisen, dass innerhalb eines integrierenden Untersuchungsansatzes (dTM), der die Entwicklung von Translationsstudien als eine unabhängige Disziplin fördert, ausreichend Raum für die verschiedenen Forschungsvorschläge besteht: produktorientiert (meistens linguistisch orientiert mit einer Emphase auf die Äquivalenzbeziehungen zwischen AST und ZST), prozessorientiert (pragmatisch orientiert mit einer Emphase auf die kommunikative oder kognitive Natur des Übersetzens) und funktionsorientiert (kulturell orientiert mit einer Emphase auf die Rezeption von ZS-Empfänger). Das Bestreben war weiterhin zu betonen, dass jeder von diesen Untersuchungsansätzen über Legitimität verfügt und dass sie die Nutzbarkeit und Wichtigkeit der anderen Forschungsansätze nicht zu verneinen brauchen. Demzufolge bin ich mit Tourys (1995: 11) Emphase bezüglich funktionsorientierter Forschung zum Nachteil von unabhängigen produkt- und prozessorientierten Forschungsansätzen nicht einverstanden. Toury bemerkt nicht, dass translatorische Forschung auf den oben erwähnten zwei epistemologischen Phasen verwirklicht werden kann: auf der ersten Phase mit einer Emphase auf der Entwicklung des jeweiligen unabhängigen Ansatzes und auf der zweiten Phase mit dem Nachdruck auf einen integrierenden Ansatz.

Hinsichtlich der Beziehung zwischen Translationsstudien und Sprachwissenschaft konnte ich nachweisen, dass Translationsstudien nicht als linguistische Subdisziplin

aufzufassen sind, dass sie jedoch eine unentbehrliche linguistische Komponente *mit einschließt*. Denn das Übersetzen impliziert immer einen linguistischen *und* einen kulturellen Austausch. Die im Übersetzungsprozess einbezogenen kulturellen Elemente werden normalerweise als extralinguistische Faktoren anerkannt (vgl. z. B. Kade 1977, Jäger 1977, Shveitser 1988, Komissarov 1999). Dennoch wurden diese extralinguistischen Faktoren in die linguistischen Studien zunächst nicht eingeführt. Erst mit der pragmatischen Wende in den 70er Jahren, als die Linguistik ihr Interesse von der Untersuchung des Sprachsystems zum Studium des Sprachgebrauchs und seiner Konkretisierung in Texten erweiterte, wurden diese Faktoren zunehmend Teil des wissenschaftlichen Spektrums. Damit wurde ein Weg zum Studium der extralinguistischen Faktoren geöffnet, die das Übersetzen als einen kommunikativen Prozess ansehen. Ich konnte auch bemerken, dass statt wie es normalerweise passiert, wenn eine neue Forschungsperspektive eingeführt wird, z. B. in linguistischen Studien über die Einbeziehung von soziokulturellen Faktoren in das Studium des Sprachgebrauchs, die Unwissenden dieser Disziplin -und besonders Übersetzungswissenschaftler- dieser Lage nicht bewusst sind und dass sie immer noch gemäß dem vorherigen Paradigma denken, d. h. sie betrachten nur die systemische Perspektive von *la langue* als die einzige Möglichkeit zum Studium der linguistischen Natur des Übersetzens und tendieren normalerweise dazu, *alle* linguistischen Ansätze zur Übersetzung ohne weitere Differenzierung zu vernachlässigen und zu disqualifizieren.

Ein weiterer zentraler Aspekt der Translationsstudien bezieht sich auf die Beschaffenheit und den Beitrag von linguistisch orientierten Ansätzen. Hier habe ich mich für eine empirische Methode ausgesprochen, die die Analyse und Beschreibung der komplexen Übersetzungsrealität aus den produkt-, prozess- und funktionsorientierten Perspektiven erlaubt. Wie Komissarov (1999: 8) sagt, gilt es anzustreben “to draw generalizations as a result of the observation of real facts”²²⁷. Dies bedeutet, dass Translationsstudien nicht eine präskriptive, sondern eine deskriptive Disziplin sind. Was die praktischen Aspekte der Theorie hinsichtlich der

²²⁷ «[...] ?? ?????? ? ?????????? ????? ???? ?????? ????? ? ? ?????». (Komissarov 1999: 8).

Ausbildung von Übersetzern und der Translationsbewertung angeht, können die Translationsstudien deskriptive Werkzeuge für Lehrer, Studenten und Kritiker liefern, die ihnen helfen, das übliche oder 'normale' übersetzerische Verhalten gemäß den im hier entwickelten dTM diskutierten Variablen zu bestimmen: die translatorischen Anweisungen des Auftraggebers (tAA), ZS-gültige translatorische Normen (ZS-gtN), die verbalisierte Intention des Originalautors und die texttypologischen Normen (vgl. unten). In dieser Hinsicht würde ich Gruczcas (1990: 15) Auffassung zustimmen, dass der Gegenstand der Übersetzungswissenschaft aus einer empirischen Perspektive dem Studium der "konkreten Handlungsakte konkreter Übersetzer sowie die Ergebnisse dieser Handlungen" entspricht. Selbstverständlich, wie bei anderem sozialem Verhalten auch, ist das Übersetzen ein normgeregeltes Verhalten und es ist wahrscheinlich, dass eine subjektive Bewertung in der ZS-Gemeinschaft durchgeführt wird. In welchem Maße diese Bewertungen ausschließlich subjektiv und arbiträr sind, wird von der Quantität der 'empirischen' Daten, auf die sich diese Ansichten stützen, abhängen.

Ich konnte weiterhin herausfinden, dass manche Kritiken bezüglich der 'empirischen' (,linguistischen') Natur der Translationsstudien aus einer irreführenden Konzeption herleiten, nach der Translationsstudien als eine exakte Wissenschaft betrachtet werden, d. h. dass die Voraussetzungen von Überprüfbarkeit gelten, als wären natürliche und physikalische Gesetze der Gegenstand von Translationsstudien (vgl. Apel 1983: 23). Da diese empirische Verifizierung in Bezug auf das Übersetzen fraglich ist und Translationsereignisse unter identischen Bedingungen nicht wiederholt werden, ist jedoch höchst zweifelhaft, dass es sich hierbei um empirische Studien handelt. Ich möchte nochmals darauf hinweisen, dass der Terminus 'empirische Studien' in Bezug auf Translationsstudien nicht in der traditionellen Begrifflichkeit der natürlichen oder exakten Wissenschaft verstanden werden soll (so wie Apel und Toury diesen Terminus vermutlich verwenden), sondern wie er in den Humanwissenschaften verstanden wird, wo keine gesetzliche Vorhersage zu erwarten ist.

‘Empirisch’ bezieht sich hier auf die Tatsache, dass Verallgemeinerungen auf der sorgfältigen Untersuchung der verfügbaren Daten basieren. Die empirische Forschung im Rahmen der Translationsstudien gewinnt an Genauigkeit und Zuverlässigkeit in dem Maße, wie relevante und reale Translationsfälle in Bezug auf produkt-, prozess- und funktionsorientierte Ansätze in Betracht gezogen werden. Andere Autoren, u. a. besonders Venuti (1998), behaupten, dass ein empirisches Herangehen an die ‚Beschreibung von textuellen Charakteristika und Strategien‘ mit der angestrebten Objektivierung, den erzeugten objektiven Ergebnissen und der Verneinung der ‘kreativen Reproduktion von Werten’ zu tun hat. Darauf erwidere ich mit meiner Forschungsarbeit, dass dies zwar der Fall sein darf, dass es aber nicht so sein sollte. Die Ergebnisse der Analyse der textuellen Charakteristika können, bzw. sollen als Konkretisierung spezifischer sozialer Werte im übersetzten Text benutzt werden. Ich denke, dass linguistisch orientierte und kulturell-literarisch orientierte Ansätze als komplementäre und nicht entgegengesetzte Forschungsentwicklungen zu betrachten sind. Ich bin mit Venuti einverstanden, wenn er sagt, dass die Erklärungskraft dieser empirisch orientierten Ansätze beschränkt sei. Dennoch ist die Erklärungskraft der kulturell-literarisch orientierten Ansätze auch beschränkt, wenn diese sich nur mit spekulativen Behauptungen über die an einer Übersetzung beteiligten sozialen Werte befassen, ohne die textuelle Konkretisierung bei ihrer Bestätigung zu berücksichtigen.

Ich zeige weiterhin auf, dass die moderne Sprachwissenschaft, besonders die gebrauchorientierten Ansätze (z. B. Pragmatik, Textlinguistik und diskursive Analyse), einen angemessenen Rahmen für das Studium der linguistischen Komponente der Translationsstudien anbietet, der nicht ausgelassen werden kann. Dies bedeutet, dass die sogenannten extralinguistischen Faktoren, die ein Bestandteil des soziokulturellen Kontexts sind, der wiederum eine sehr wichtige Rolle im Translationsprozess und bei der Rezeption spielt, auch in Betracht gezogen werden können. In dieser Hinsicht bemerkt Fawcett (1997: 40) richtig, dass obwohl die linguistisch orientierten Theoriker “may have not taken the ‘cultural turn’ in his [Lefevere’s] meaning of ideological manipulation in translation, [...] they do not ignore the world beyond the word”. Außerdem kann der in den linguistischen

Theorien entwickelte empirische Ansatz auch in Translationsstudien als eine allgemeine, steuernde Methode bei der Beschreibung von produkt-, prozess- und funktionsorientierten Ansätzen vorteilhaft benutzt werden. Selbstredend sind diese Translationsansätze miteinander eng verbunden und nach Holmes (1988: 81) sollten Forscher “the self-evident fact that one is the result of the other, and that the nature of the product cannot be understood without a comprehension of the nature of the process” nicht ignorieren. Oder wie Hatim und Mason (1990/1997: 3) es ausdrücken: “what is available for scrutiny is the end-product, the result of translation practice rather than the practice itself.” Meiner Meinung nach beschäftigen sich linguistisch orientierte Translationsstudien mit diesem Fertigprodukt, aber wenn es analysiert wird, verfährt man retrospektiv, um bei dem Translationsprozess anwesende Bedingungen, vorgenommene Entscheidungen und Auswahlstrategien hypothetisch zu rekonstruieren. Dabei müssen sowohl die kommunikativen, prozeduralen und kontextuellen Variablen als auch die prozeduralen Aspekte berücksichtigt werden, die bei der Problemlösungstätigkeit der AT-Decodierung und der ZT-Codierung stattfinden.

Andererseits haben kulturell orientierte Translationsansätze auch wertvolle Ideen zur Bildung unabhängiger Translationsstudien beigetragen. Deskriptive Translationsstudien (dTTS) und die Polysystemstheorie haben die von Holmes genannte ‚Soziologie der Übersetzung‘ entfaltet, also das Studium der Rolle, die Übersetzungen in der ZS-Gemeinschaft gemäß den ZS-gtN spielen. Der Begriff der translatorischen Normen spielt im soziokulturellen Kontext des hier vorgenommenen dTM eine wichtige Rolle. Ich schlage vor, sie ZS-gültige translatorische Normen zu nennen. Dennoch gilt zu bedenken, dass diese Translationsansätze nicht geholfen haben, die Brücke zwischen Übersetzungstheorie und Übersetzungspraxis (Ausbildung von Übersetzern und die Bewertung von Übersetzungen) zu schlagen, weil sie sich für die angewandten Aspekte des Übersetzens nicht interessieren. Da ihr Forschungsinteresse vor allem funktionsorientierte Aspekte betrifft, tragen sie der Äquivalenzbeziehung zwischen AST und ZST nicht Rechnung und sogar Nicht-Übersetzungen (Pseudo-Übersetzungen, d. h. fiktive Übersetzungen) werden in ihren Forschungsansätzen eingeschlossen. Natürlich trägt dieses Interesse der dTS

durchführenden Forscher an ausschließlich literarischen Texten zu einem noch größeren Spagat zwischen literarischen und linguistischen Translationsstudien bei und so muss konstatiert werden, dass hier bislang keine Fortschritte in Bezug auf einen integrierenden Ansatz gemacht wurden.

Der wichtigste Beitrag von Vermeers Skopostheorie für den hier entwickelten integrierenden Translationsansatz ist seine Emphase auf die Bedeutungen, die der Translationsauftraggeber und die ZS-Leserschaft beim Übersetzungsprozess einnehmen. Die Rolle des Auftraggebers wird beim dTM durch den Begriff der translatorischen Anweisungen des Auftraggebers (tAA) berücksichtigt. Dennoch kritisiere ich Vermeers Verallgemeinerung, nach der fast jedes ZS-orientierte Produkt (eigentliche Übersetzung, Anpassungen, Paraphrasen usw.) ein gültiger Gegenstand der Translationsstudien ist, solange es als Ergebnis einer Translationshandlung, bzw. als Konkretisierung eines Skopos oder einer Absicht des Auftraggebers, betrachtet werden kann. Diese irreführende Behauptung ergibt sich aus einem Missverständnis: Die Tatsache, dass manchmal Übersetzer nicht nur darum ersucht werden, Übersetzungen durchzuführen, sondern auch darum, andere Texttypen -z. B. Zusammenfassungen, Paraphrasen usw.- zu erzeugen, bedeutet nicht, dass diese anderen textuellen Produkte ‚Übersetzungen‘ genannt werden sollen, als wären sie Übersetzungen im eigentlichen Sinne. Außerdem ist eine weitere Beschränkung dieser Theorie die Entthronung des Ausgangstexts und der Absicht des Originalautors zugunsten der Absicht (Skopos) des Auftraggebers, die als der einzelne steuernde Faktor beim Übersetzen konzipiert wird.

Einer der wichtigsten Beiträge der hermeneutischen Translationsansätze für vorliegende Arbeit ist ihr Interesse am Verständnis- und Auslegungsprozess als zentrale Aspekte des Übersetzungsprozesses. Alle holistischen translatorischen Ansätze sollten den Übersetzer als einen wesentlichen Teilnehmer des Translationsprozesses berücksichtigen, denn er trifft die Entscheidungen bei der Verbalisierung des ZT. Dennoch sollte die Rolle dieser subjektiven Faktoren bei dem Auslegungsprozess zum Nachteil von den von den anderen Teilnehmer gespielten Rollen (AS-Sender/Autor, ZS-Empfänger) nicht zu nachdrücklich betont werden. Ich

kritisiere auch die hermeneutische Behauptung, dass die Bedeutung eine ausgeschlossene Reproduktion des Auslegers ist und dass es keine Bedeutung *im* Text gibt.

Innerhalb des poststrukturalistischen Ansatzes ist Venutis Unterscheidung zwischen 'domesticating' und 'foreignizing' Übersetzungsstrategien für theoretische ebenso wie für praktische Ziele von Relevanz. Dennoch kritisiere ich in meiner Arbeit auch diese Differenzierung, denn Venuti stellt sie als ein dichotomes *entweder* 'domesticating' *oder* 'foreignizing' dar. Man kann sagen, dass Übersetzer diese Strategien normalerweise gemäß den ZS-gtN und tAA kombinieren und dass es eine durch den ganzen Text gebrauchte allgemeine Strategie gibt. Auch Venutis Auffassung, dass die Unsichtbarkeit von Übersetzern durch 'resistive' Mittel in Bezug auf den Gebrauch von 'foreignizing' Strategien (vgl. also Tymoczko 2000) zu überwinden sei, wird von mir kritisiert. Venutis Ideen fördern keinen integrierenden Ansatz, denn er vernachlässigt die linguistische Komponente des Übersetzens, die er als 'scientific' empfindet, und er fokussiert fast ausschließlich auf literarische Texte (vgl. Robinson 1997).

Postkoloniale Studien vertreten aufschlussreiche Ansätze zum Verständnis von historischen Prozessen, die den Erfolg der imperialistischen Enteignung von einheimischen Ländern und Reichtum durch den Gebrauch des 'Übersetzens' als ein effektives linguistisches und kulturelles Hilfsmittel sichern. Für diese Arbeit und die Entwicklung des dTM gilt die Auffassung, dass die translatorischen Anweisungen des Auftraggebers (tAA) in Bezug auf die zu übersetzenden Texte und die Art und Weise, wie sie zu übersetzen sind, grundsätzlich ideologisch motiviert sind; d. h. sie entsprechen verschiedenen Gründen: politischen, wirtschaftlichen, ästhetischen usw. Dennoch stimmen die von ihnen vorgeschlagenen Strategien meistens mit den von Venuti vorgeschlagenen Verfahren überein: 'foreignizing', d. h. nachzuweisen, dass das Original Elemente enthält, die in der Übersetzung bloß nicht ausgelassen werden können. Eine ähnliche Herangehensweise vertreten feministisch-orientierte Wissenschaftlerinnen, indem sie Übersetzungen ins Femininum propagieren. Meiner Ansicht nach besteht hier jedoch ein ethisches Problem: In welchem Maße werden

Kolonisierte selbst zu Kolonisatoren, wenn sie die im Original verbalisierte Gendermarkierung enteignen? Wie im vorherigen Translationsansatz haben sich postkoloniale Forscher fast ausschließlich auf das Studium der literarischen Texte konzentriert. Für einen holistischen integrierten Ansatz stellt dies eine Beschränkung dar, falls nicht ihre theoretischen Auffassungen bei der Analyse der sogenannten pragmatischen Texte angewandt werden.

Für meinen Vorschlag des dTM wurden zunächst wesentliche Begriffe der einzelnen Ansätze diskutiert: Aus produktorientierten, zumeist linguistischen Ansätzen wurde auf die Äquivalenzbeziehung zwischen AT und ZT eingegangen. Bei den funktionsorientierten Ansätzen wurden mehrere kulturell-literarisch orientierte Ansätze besprochen, besonders deskriptive Translationsstudien (ZS-gültige translatorische Normen, ZS-gtN, Skopostheorie, [hier translatorische Anweisungen des Auftraggebers], tAA) sowie poststrukturelle Ansätze (‚domesticating‘ vs. ‚foreignizing‘ Strategien und postkoloniale Translationsstudien [Ideologische translatorische Faktoren]). Von den prozessorientierten Ansätzen wurde die Leipziger Schule hinzugezogen (Translation als ein kommunikativer Prozess) und hermeneutisch-orientierte Ansätze (die wesentliche Rolle, die der Übersetzer und die ZS-Leserschaft bei den translatorischen Auslegungsprozessen spielen) wurden diskutiert.

Im dTM wird die Übersetzung als eine zweisprachige historisch-kulturell bestimmte Aktivität aufgefasst, die stattfindet, wenn ein AS-Sender nach eigenen oder nach Anweisungen anderer einen Text erzeugt, der vom Übersetzer, einem ZS-Empfänger, rezipiert wird, der seinerseits einen ZS-Text erzeugt, der einen äquivalenten pragmatischen Wert für den ZS-Empfänger hat. Ich konnte in meinem Vorschlag nachweisen, dass die dynamische translatorische Aktivität auf drei miteinander eng verbundenen, in dialektischem Verhältnis zueinander stehenden Niveaus stattfindet. Diese Niveaus sind mehr abstrakt und komplex bis hin zu mehr konkret und greifbar. Das äußerste Niveau entspricht dem historisch-kulturellen Kontext der beiden Sprachen (AS und ZS), wobei die Teilnehmer (Auftraggeber, AS-Sender, Übersetzer, ZS-Empfänger) ihre Rollen in einem zweisprachigen translatorischen

kommunikativen Prozess einnehmen, bei dem der Übersetzer kontinuierlich Entscheidungen trifft, die textuell konkretisiert werden. Es gibt auch eine progressive Einbeziehung aus dem niedrigen Niveau, dem Text, in das nächste, den kommunikativen Prozess, und wiederum eine Einbeziehung dieser beiden in das höchste oder das umfassendste, das historisch-kulturelle Niveau. Das Modell ist dynamisch, denn es erlaubt, dem Entscheidungsprozess des Auftraggebers (tAA) im soziokulturellen Kontext (ZS-gtN) durch den Text des AS-Senders bis zum Übersetzer als einem AS-Empfänger und seiner Verbalisierung zum ZS-Empfänger nachzuforschen.

Das dTM strebt auch an, als ein integrierendes Gefüge, eine 'Landkarte', zu gelten, worüber textuelle, kommunikative und kontextuelle Aspekte des Übersetzens als eine produkt-, prozess- und funktionsorientierte Tätigkeit identifiziert, beschrieben und womöglich erklärt werden können. Die Erklärungskraft des Modells basiert auf seinem Potenzial, die verschiedenen Variablen bezüglich des Translationsprozesses zu lokalisieren, die gegenseitigen Verbindungen zu verstehen und Aspekte zu diskutieren, die als wesentlich erklärende Faktoren der Verbalisierung des ZS-Textes durch den Übersetzer in Anspruch genommen werden können.

Im dTM habe ich auch intendiert, den Fluss der verwirklichten Absichten der verschiedenen Teilnehmer am Übersetzungsprozess nachzuweisen. Generell kann bestätigt werden, dass das Übersetzen anfängt, wenn der Auftraggeber seine kommunikative Absicht (Pi) ausdrückt, einen Text übersetzen zu lassen. Der zu übersetzende Text wird von einem Autor/Sender mit einer bestimmten Absicht (PS) gemäß den AS-systemischen und texttypologischen Normen erzeugt. Der Text (AST) wird gemäß der pragmatischen Absicht des Autors und als ein steuerndes Muster eines allgemeinen Makrosprechakts verbalisiert, der in Mikrosprechakte aufgeteilt wird, die den im Text verbalisierten Äußerungen entsprechen. Manche diskursiven Mechanismen wie Modalität (die Anwesenheit des Subjekts der Äußerung), Polyfonie (verschiedene im Text sprechende Stimmen) und Deixis (die 'normale' oder 'verschobene' persönliche, zeitliche und örtliche Lokalisierung des Texts in Bezug auf den Kontext und Kotext der wirklichen oder möglichen Welt) werden

aktiviert. Außerdem sind sowohl ein Erzähler als auch ein implizierter Autor und ein implizierter Leser typische Gegebenheiten von Erzählungen. Gemäß der pragmatischen Intention des Autors wird der Text auf den semantischen (Was wird in einer wirklichen oder möglichen Welt gesagt?), stilistischen (Wie wird es gesagt?) und semiotischen (Wie wird es durch den Gebrauch nicht-sprachlicher Zeichen gesagt?) Dimensionen unterteilt.

Der AST wird vom Übersetzer rezipiert, der die verbalisierte Absicht des Autors mit den in der ZS-Gemeinschaft allgemein gültigen und textspezifischen Translationsnormen und den translatorischen Anweisungen des Auftraggebers (tAA) konfrontiert. Aufgrund seiner kommunikativen, textuellen und translatorischen Kompetenzen verbalisiert er den ZST gemäß der default Äquivalenzposition (s. unten) und die möglichen Veränderungen innerhalb des Rahmens der in einem bestimmten Moment in der ZS-Gemeinschaft gültigen default verbindlichen translatorischen Kräfte (ZS-gtN und tAA).

Im soziokulturellen Kontext des dTM spielen translatorische Normen eine wesentliche Rolle bezüglich der Weise, wie die Übersetzung durchzuführen ist. Hier schlage ich vor, zielsprachliche gültige translatorische Normen (ZS-gtN) als Muster zum übersetzerischen Verhalten zu verstehen, die von verschiedenen kräftigen Instanzen in ZS-Gemeinschaften etabliert werden. Sie ändern sich ständig und werden linguistisch konkretisiert, indem sie den Übersetzern sagen, wie sowohl systemisch korrekte Texte (was in einer Sprache erlaubt ist) und texttypologisch angemessene Texte (gemäß vorhandenen Texttypen und durch die Modifizierung oder Einführung neuer Texttypen) als auch translatorische geeignete Texte (gemäß den gültigen Begriffen über die verschiedenen translatorischen Texttypen: treu in Bezug auf die Form und den Inhalt des Originals, treu in Bezug auf seine Form oder auf seinen Inhalt oder auf das 'Motiv'; allgemein ‚domesticating‘, allgemein ‚foreignizing‘, ‚domesticating‘ und ‚foreignizing‘; anpassend, zusammenfassend, paraphrasierend, usw.) erzeugt werden sollen.

Andererseits konnte ich auch einen neuen Rahmen prüfen und verarbeiten, der die Gültigkeit und Notwendigkeit des Begriffs der Äquivalenz als ein grundlegendes Konzept der Translationsstudien stützt. Meiner Meinung nach soll die translatorische Äquivalenz ein deskriptiver Begriff sein, der ein AT mit anderem ZT verbindet. Äquivalenz bedeutet keinesfalls Identität. Sie ist auch kein *binärer* Begriff, wie Nidas (formelle und dynamische Äquivalenz) und Newmarks (semantische und pragmatische Äquivalenz) Auffassungen voraussetzen, sondern *multidimensional*, wie Koller annimmt. Äquivalenz ist ein komplexes Konzept, das in ihre verschiedenen Komponenten unterteilt werden soll, um sie treffend verstehen zu können. Äquivalenz ist eine textuelle Beziehung von dem Typ, den Genette Hypertextualität nennt, d. h. es gibt einen Hypotext, von dem ein Hypertext *abhängt*. Der Hypotext ist der AS-Text und der Hypertext ist der ZS-Text. Eine Übersetzung wird identifiziert, wenn es möglich ist, die Äquivalenzsequenz zwischen dem AST (Hypotext) und dem ZST (Hypertext) festzulegen. Falls in der Äquivalenzsequenz große Unterbrechungen vorkommen (die bspw. mehr als einen Satz umfassen oder Auslassungen, Zusätze und bedeutende semantische Änderungen aufweisen), dann ist es höchst wahrscheinlich, dass es sich nicht mehr um eine Übersetzung, sondern um eine Anpassung handelt.

Äquivalenz ist nicht statisch, sondern dynamisch. Die dynamische Natur der translatorischen Äquivalenz wird erklärt, wenn historisch-kulturelle, kontextuelle Variablen berücksichtigt werden. Das grundlegende Konzept für das Verständnis der Äquivalenz sind die *translatorischen Normen*. Wie Toury (1995: 61) sagt: “the apparent contradiction between any traditional concept of equivalence and the limited model into which a translation has just been claimed to be moulded can only be resolved by postulating that *it is norms that determine the (type and extent of) equivalence manifested by actual translations*” (Tourys Emphase). Im dTM wird angestrebt nachzuweisen, dass der Übersetzer unmittelbar von translatorischen Normen (linguistischen und nicht-linguistischen) *und* den translatorischen Anweisungen des Auftraggebers beeinflusst wird. Diese Variablen helfen dem Übersetzer bei der Bestimmung der Äquivalenzen zwischen AST und ZST. Nur wenn die translatorische Äquivalenz als einen Entscheidungsprozess des Übersetzers im

Rahmen dieser Variablen verstanden wird, können die Unterschiede zwischen Übersetzungen und Anpassungen besser erläutert werden. Schreiber (1993: 105) zum Beispiel unterscheidet zwischen Übersetzung und Bearbeitungen folgendermaßen: „Für die Unterscheidung zwischen Übersetzung und Bearbeitung bleibt also vorläufig festzuhalten, dass es bei *Übersetzungen* darum geht, möglichst viel zu erhalten (außer der Ausgangssprache), während es bei *Bearbeitungen* darum geht, bestimmte Textmerkmale mehr oder weniger ‚willkürlich‘ zu ändern (außer mindestens einem individuellen Textmerkmal, das den Bezug zum Prätext herstellt). Mit anderen Worten: Während die Übersetzung vor allem auf *Invarianzforderungen* beruht, beruht die Bearbeitung primär auf *Varianzforderungen*“. Die Unterscheidung Schreibers ist nicht dynamisch, sondern statisch, da er weder die Agenten der translatorischen Tätigkeit noch die kontextuellen Normen in Betracht zieht, die das Äquivalenzspektrum der Variation zwischen der eigentlichen Übersetzung und den Bearbeitungen bestimmen.

Ich habe auch vorgeschlagen, eine *default Äquivalenzposition* (dÄP) zu unterscheiden, die dem Mittelpunkt entspricht, an dem die translatorischen Normen (ZS-gtN) und die translatorischen Anweisungen des Auftraggebers (tAA) in einer neutralisierten Position im Äquivalenzspektrum bestehen. Diese Position hilft dem Übersetzer, die kommunikative Absicht des Senders des Originals zu beachten und zu bewahren. In diesem Fall ist das Ergebnis eine sogenannte ‘treue’ Übersetzung, bei der der Maßstab, Äquivalenzen festzulegen, von dem AST selbst bestimmt wird, gemäß dem tatsächlichen Ausdruck (implizite und explizite Bedeutung). Dies nennt Koller die ‘eigentliche’ Übersetzung. Meiner Meinung nach besteht die Aufgabe des Übersetzers darin, die Absicht des AS-Senders (pragmatische Dimension) wiederzugewinnen, gemäß dem, was er tatsächlich sagt (textuelle semantische Dimension), wie er es durch verbale Zeichen (stilistische Dimension) und nicht-verbale Zeichen (semiotische Dimension) ausdrückt. In diesem Fall wird vorausgesetzt, dass der AST eine ähnliche Funktion in der ZS-Gemeinschaft erfüllt. Es ist auch klar, dass der übersetzte Text nicht die *gleiche*, sondern nur eine *ähnliche* Funktion in der ZS-Gemeinschaft erfüllen kann, da er in einen jeweils verschiedenen soziokulturellen Kontext der ZS-Gemeinschaft eingebettet ist.

Die Texte (AST und ZST) jedes Texttyps (z. B. literarisch, umgangssprachlich, wissenschaftlich) haben die gleichen textuellen Dimensionen, d. h. pragmatisch, semantisch, stilistisch und semiotisch. Wenn die *default Äquivalenzposition* aktiviert wird, d. h. wenn der ZST eine eigentliche Übersetzung des AST ist, dann sollte eine enge Beziehung zwischen ihnen bestehen: Die kommunikative Absicht des Originals sollte etwa unmodifiziert bleiben, der Inhalt des ZST kann gemäß den ZS-translatorischen (linguistischen und kulturellen) Normen modifiziert werden, um die verbalisierte Ansicht des AST beizubehalten. Natürlich können auch die stilistischen Variablen an die ZST und die Sprachtypologie genau angepasst werden. Andererseits denke ich, dass es eine klare Hierarchie zwischen den verschiedenen textuellen Dimensionen gibt, wo Äquivalenzen festgelegt werden. Wenn die *default Äquivalenzposition* aktiviert wird, ist die pragmatische Dimension das höchste Kriterium für die Herstellung des Übersetzungs, d. h., wenn die Absicht des Senders des Originals respektiert wird. Dies hat nichts mit der wörtlichen Übersetzung zu tun, weil die semantischen, stilistischen und semiotischen Dimensionen des AT im ZT gemäß dem pragmatisch-kommunikativen Maßstab reproduziert werden, der das Übersetzen als eine kommunikative Tätigkeit charakterisiert. Mit anderen Worten wird der verbalisierte Prozess makro-strukturelle Änderungen hinsichtlich der ZS-systemischen und textuellen Typologie und textinternen Änderungen erlauben, bzw. erfordern.

Außerdem besteht ein Kontinuum von Textprototypen, das sowohl fachlich-wissenschaftliche Texte als auch umgangssprachliche und literarische Texte umfasst. Obwohl Genres/Texttypen (innerhalb eines literarischen und eines täglichen kognitiven Rahmens) nicht durch bestimmte linguistische Eigenschaften -wie Biber (1989) annehmen wollte- notwendigerweise differenziert werden können, sind sie gültige Arbeitskategorien, denn sie entsprechen den prototypischen Mustern für die sprachliche Tätigkeit innerhalb der bestimmten kommunikativen Situationen, wo Sprecher mit den anderen Mitgliedern ihrer Sprachgemeinschaft kommunizieren möchten. Der steuernde Parameter für die Verwirklichung der translatorischen Aufgabe sind die *textuellen illokutionären Indikatoren*. Sie spiegeln die Absicht des

Senders des Originals wider und drücken die allgemeine textuelle Funktion aus, die durch die verschiedenen textuellen Dimensionen (semantisch, stilistisch und semiotisch) gemäß dem Texttyp verbalisiert werden. Der Übersetzer folgt der *default Äquivalenzposition* gemäß den textuellen illokutionären Indikatoren, um die Äquivalenzsequenz des Originals wiederzuerschaffen, und zieht dabei die ZS-gtN und die tAA in Betracht, die die kommunikative Absicht des Originals ganz oder teilweise entheben können.

Falls es keinen entsprechenden Texttyp in der ZS-Gemeinschaft gibt, wird der Übersetzer mittels der verbindlichen translatorischen Kräfte (vtK) bestimmen, ob ein Text bereits vorhanden ist, der sich an das Original anpassen lassen kann, oder ob der AT in die ZS-Gemeinschaft mit großen oder kleinen Änderungen ‘importiert’ werden muss. In Bezug auf die Unterscheidung zwischen deskriptiven, narrativen, argumentativen, explikativen und anweisenden Texten betrachte ich sie nicht als eigentliche Texttypen, sondern als diskursive Modi, die in verschiedenen Texten aktiviert werden können. Eine Erzählung kann nicht nur die typischen narrativen Aspekte (Präteritum, Personen, Ereignisse, Plan, Erzähler, usw.), sondern auch Beschreibungen, Explikationen und Anweisungen mit einbeziehen. Wichtig bei der Übersetzung ist, dass der Übersetzer die diskursiven Modi identifiziert und sie im ZT gemäß den entsprechenden Normen und Eigentümlichkeiten (vgl. z. B. Hatim 1997, Argumentationsmuster im Arabischen und Englischen) reproduziert. Der Übersetzer sollte auch die textuellen Verbalisierungen analysieren, die Bestandteil des AT sind: Paratexte (Titel, Untertitel, Fußnoten, usw.), Metatexte (z. B. Kommentare) und Intertexte (z. B. Zitate und Anspielungen), um sie im ZT gemäß den ZS-gtN und tAA wiederzuerschaffen.

In Bezug auf die Beschränkungen und zukünftigen Fortschritte des von mir hier vorgeschlagenen integrierenden translatorischen Forschungsansatzes kann ich erwähnen, dass die kognitiven Modelle (z. B. Krings 1986, Bell 1991 und Hönig 1993), die angestrebt haben, die Entscheidungsprozesse des Übersetzers zu erklären, auch fruchtbar integriert werden könnten. Sie entsprächen der Erweiterung der Komponente des Übersetzers im dTM. Natürlich sollten Forschungsansätze in dieser

Richtung auch empirisch-orientiert sein, damit Hypothesen über die Entscheidungsprozesse des Übersetzers durch die gesammelten Daten nachgewiesen werden können, wie z. B. bei den sogenannten Lauterprotokollen (vgl. Jääskeläinen 2002) oder bei der Rechnertastenaktivität des Übersetzers (Tirkkonen-Condit 2005).

Die Erklärungskraft des von mir vorgeschlagenen konzeptuellen Netzes, das aus der default Äquivalenzposition (dÄP), den translatorischen Anweisungen des Auftraggebers (tAA) und den ZS-gültigen translatorischen Normen besteht, könnte als ein steuernder Maßstab benutzt werden, um die vom Übersetzer festgelegte Äquivalenzsequenz zwischen AT und ZT mittels eines Korpus zu analysieren, das nicht nur verschiedene Texttypen von diversen Übersetzungen des gleichen Originals in verschiedene Sprachen, sondern auch verschiedene Übersetzungen des gleichen Originals in die gleiche Sprache einschließt. Diese erweiterte Anwendung würde die Gültigkeit des Vorschlags erhöhen. Außerdem ist das dTM ein offenes Modell, in das zusätzliche Textvariablen gemäß den Ergebnissen der Analyse projiziert werden können.

Wahrscheinlich besteht die größte Beschränkung für den Erfolg und die Gebräuchlichkeit eines integrierenden Ansatzes, wie dieser von mir hier vorgeschlagen, darin, dass Translationsforscher über eine positive Einstellung und Neigung verfügen sollten, anzuerkennen, dass ihre Wahrheiten nur Teilwahrheiten sind, dass der komplexe Gegenstand der Translationsstudien sich nicht mit einer einzelnen Sicht erschöpft, trotz ihres Grads der Ausarbeitung und (ihrer deskriptiven und/oder erklärenden) Entwicklung. Auch soll angemerkt werden, dass es nicht sinnvoll ist, angenommene entgegengesetzte Ansätze zu verkennen. Prospektive 'integrierende' Translationsstudien werden eine Disziplin sein, die einen weiten Raum bereit hält und dies sowohl für linguistisch orientierte Aspekte in Bezug auf die Äquivalenzbeziehung zwischen AT und ZT als auch für literarisch orientierte hinsichtlich der Erklärung der Funktion der Übersetzungen in ZS-Gemeinschaften. Meinerseits besteht die Hoffnung, mit diesem Buch nachgewiesen zu haben, dass andere translationsrelevante Disziplinen, wie z. B. Linguistik, Textlinguistik, Literaturstudien, Diskursanalyse, Kulturstudien, Semiotik, Genderstudien und

Postkolonialstudien in die Translationswissenschaft integriert werden können. Translationsstudien werden als ein privilegiertes, interdisziplinäres und unabhängiges Forschungsfeld konstituiert, wobei die Teilinteressen von anderen Disziplinen auf das Studium der komplexen Realität des Übersetzens (als Produkt, Prozess und Funktion) konvergieren. Ihre Ergebnisse können die Disziplin in theoretischer Hinsicht fördern und sie können angewandte Ansätze (z. B. Ausbildung von Übersetzern und Übersetzungsbewertung) zu entwickeln helfen und damit auch die professionelle Tätigkeit unterstützen und fördern. Ich hoffe, dass das von mir vorgeschlagene dTM als ein kohäsiv steuernder theoretischer Ansatz angenommen wird und so zur Ausdifferenzierung dieser Forschungsrichtung beiträgt.