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A linguistic and semantic approach to
the theory and practice of literary
translation

by

Gisèle Saint-Jacques-Tavakoli

A thesis submitted for the degree of
PhD

The University of Aston in Birmingham

May 1980

To Mohammad-Louis

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Summary

This work explores the relevance of semantic and linguistic description to translation, theory and practice. It is aimed towards a practical model of approach to texts to translate. As literary texts [poetry mainly] are the focus of attention, so are stylistic matters. Note, however, that 'style', and, to some extent, the conclusions of the work, are not limited to so-called literary texts.

The study of semantic description reveals that most translation problems do not stem from the cognitive [langue-related], but rather from the contextual [parole-related] aspects of meaning. Thus, any linguistic model that fails to account for the latter is bound to fall short. T.G.G. does, whereas Systemics, concerned with both the 'langue' and 'parole' [stylistic and sociolinguistic mainly] aspects of meaning, provides a useful framework of approach to texts to translate.

Two essential semantic principles for translation are: that meaning is the property of a language [Firth]; and the 'relativity of meaning assignments' [Tymoczko]. Both imply that meaning can only be assessed, correctly, in the relevant socio-cultural background. Translation is seen as a restricted creation, and the translator's approach as a three-dimensional critical one.

To encompass the most technical to the most literary text, and account for variations in emphasis in any text, translation theory must be based on typology of function [Halliday's ideational, interpersonal and textual, or, Bühler's symbol, signal, symptom, functions]. Function [overall and specific] will dictate aims and method, and also provide the critic with criteria to assess translation faithfulness.

Translation can never be reduced to purely objective methods, however. Intuitive procedures intervene, in textual interpretation and analysis, in the choice of equivalents, and in the reception of a translation.

Ultimately, translation, theory and practice, may perhaps constitute the touchstone as regards the validity of linguistic and semantic theories.

Key words: contextual/cognitive meaning, sociolinguistic factors, situation, function, formal-semantic links

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Introduction

1. Brief historical preface

Since time immemorial translation has caused many a prominent scholar and thinker to put his pen to paper, from Cicero [about 45 B.C.] to Ezra Pound [1951, 1954]. The origins of the art, however, are quite humble and were rooted in certain favourable circumstances where the simple need and the contact of cultures were significant factors. Newmark [1976: 79] traces the beginning of translation in the West back to 300 B.C., when the Romans 'took over wholesale many elements of Greek culture, including the whole religious apparatus'. But the very first signs date from much earlier than that, 3,000 B.C. according to Newmark [op. cit], 'during the Egyptian Old Kingdom, in the area of the first Cataract, Elephantine, where inscriptions in two languages have been found'.

The literature on translation, at first scarce and disseminated over the centuries, has known a revival in the twentieth century, which has been called the 'age of translation' [Jumpelt, 1961] or 'reproduction' [Benjamin, 1923]. But in comparison to the large numbers of translations which our modern life and its emphasis on communications demands in ever-increasing quantities, it is very limited indeed, and what is worse, such limitation also extends to the scope of the existing theory. Both Kelly

[1979: 2-3] and Newmark [op. cit: 80] agree and deplore that most authors treat one facet of the theory at the detriment or exclusion of others, and that it is method and the practical aspects of the operations of the translation process that have been the principal object of neglect. On the other hand, the creative aspects of translation have attracted the most attention. These trends have resulted in a one-sided stream of translation theory where aims and results are argued upon from different points of view, but which leaves the translator with very little practical, really useful material to resort to.

2. Existing models of translation

Kelly [op. cit: 1] sets up as the requirement of a complete translation theory that it comprises the following three components: specification of function and goal; description and analysis of operations; and critical comment on relationships between goals and operations. But as we have seen, one unfortunate characteristic of translation literature is the absence of a comprehensive theory of translation [except perhaps Campbell [1719-96] which, through a practical orientation, takes both linguistic and semantic considerations into account]. Other theories fall short in some way or the other.

Broadly speaking, one can recognise three dominant types of approaches in the history of translation theory

[Kelly, op. cit: 2], namely the literary, the linguistic and the hermeneutic approaches. Among past and contemporary literary approaches, Cicero (about 45 B.C.), Goethe (1749-1832), Benjamin (op. cit), Levy (1969)^[1], Pound (op. cit), and Cary (1956 and 1962-3)^[2] are particularly noteworthy. This approach considers translation as a literary craft and discusses perennial themes such as the interrelationship between form and meaning, the links that tie the SL and RL texts to their respective literary tradition, the duties and rights of the translator, and especially, the pros and cons of literal versus free translation. Its major shortcoming lies in its tendency to focus on aims and results while leaving the means unattended, thus losing sight of the methodological, practical aspects of the process.

The linguistic approach has been one of the most fertile as far as literature is concerned, even though it originated much later than the two others. Among a number of well-known authors, I mention but Mounin (1955, 1963, 1964 in particular), Nida (1969, 1975 a and b , and 1976 mainly, whose approach may be situated between the linguistic and the hermeneutic), Firth (1956), Catford (1965), Vinay and Darbelnet (1958, whose orientation is more practical than theoretical)^[3]. Here, unlike in the previous approach, the process of translation is mainly viewed as semantic and linguistic transfer; the emphasis is thus on the characterisation of aspects of grammatical and various

operations which must be carried out to attain some kind of equivalence. The main failings of linguistic theories in general, are their tendency to assume a very generalised purpose for translation [up to recently at least] and to [more or less] hide theory behind transfer formulas [Catford and Vinay and Darbelnet in particular^[4]].

The hermeneutic approach^[5] is characterised by a view of language as 'creative energy'. Similarly, within it, translation is regarded more as interpretation and contemplation of 'language', in an almost spiritual sense, than as the reproduction of a text. Theorists who adopted this perspective sought to transmit the 'Being' of the original text, its transcendental quality beyond the limits of any given tongue, into their own language. The most outstanding representatives of this approach which developed from Humboldt, Goethe and Herder, include Hölderlin [1780-1843], Heidegger [1889-1976], Ebeling [1973] and Steiner [1975]. Like the first one, this approach can be blamed for focussing too exclusively on aims and end while overlooking technique.

Excellence in translation theory will be attained when a theory which incorporates means and end in a most balanced manner emerges. As Kelly puts it [op. cit: 65]: 'purpose without technique means groping, technique without clear purpose, sterility'. Moreover, translations are not all of a literary nature, the linguistic aspects are important

but should be subordinated to end, and the creative, transcendental aspect of language is definitely not in the foreground in all kinds of texts. The trend to follow towards a better translation theory has already been indicated, that is, a generalised approach in which the stylistic, linguistic and hermeneutic aspects of the process are seen as complementary, whereas particular importance is given to function as determinant of technique; the latter will depend to some extent upon the specific function of a given text and relate closely to one or the other above-mentioned approaches. Ideally, practical examples should include as wide a range of texts as possible.

3. The approach in this work

My personal approach to translation is not as ambitious as what is outlined above, but constitutes a step in that direction. One main restriction concerns the kind of texts examined, that is literary texts; this is due, in part, to a desire to adapt the scope of my topic to the limits of a doctoral dissertation, to a personal interest, and to the fact that I intend to introduce different but related considerations, mainly semantic in nature. But one must tread carefully in the field of so-called 'literature', for there are a number of often unsuspected controversial issues implied.

In the course of my research it has become quite evident to me that the aspects of meaning [contextual mainly] other than the logical are not only significant in so-called 'literary texts', but that their influence is in fact manifest in most, if not all, kinds of literature, from the most technical to the most creative. Style, in the wide sense of 'meaningful variation' does not seem to belong to novels and poetry exclusively. Distinctions, however, as to kinds of style and the extent of stylistic relevance depending on the type of text have to be recognised. Kelly (op. cit: 179) distinguishes three main kinds of style, that is (i) style that conforms to matter (which mainly has to do with registers), (ii) style to suit readership; and (iii) style that reflects the author. It is the latter type that is most typical of literary texts, and which most involves the full exploitation of the resources of a language^[6].

The extent of stylistic relevance in a given text will depend on the extent of the use that the author makes of the resources of the language; it is pretty obvious that poetical language uses form to a larger extent than technical texts do^[7], and for this reason, it is usually acknowledged that style is most relevant in so-called 'literary texts', and the least so in so-called 'technical texts'. Note that the extent of stylistic relevance has immediate implications for the degree of translatability of texts. It is usually recognised that the more a text exploits the formal resources

of the language, the greater the difficulty in translating it. That is why poetry is often regarded as a kind of limit case as far as translatability is concerned. But it also makes it one of the most interesting and challenging area of investigation in the field as a whole.

The immediate consequences of this for translation are twofold. On the one hand, neither theories nor models of translation based on linguistic theories which do not account for, or sufficiently describe the contextual types of meaning, can be of much use to the translator. This is why T. G. G.'s usefulness to translation and stylistic studies is found, here as elsewhere [see Section 4 below and Messing, 1971; and Kintgen, 1974] to be so limited. On the other hand, within a functional, Hallidayan, theory of language, and the translation model that can be derived from such a theory, all texts, whatever their type, may (and perhaps must) be included within a unified theory of translation, a principal characteristic of this theory being that it discriminates between the various functions which dominate different types of texts. Consequently, although the choice of examples throughout the thesis is by and large restricted to that category, [some of] the theoretical principles, and the translation model mainly, presented here in Chapter Five, are not strictly limited to literary texts.

It must not be deduced however that the theory advocated here constitutes, or was meant to be considered as, a full theory of translation. This, of course, is not the case. What is offered here is a basic outline of what could become, after further research, a comprehensive functional, socio-linguistically oriented theory of translation based on Halliday's linguistic theory. It is hoped, however, that the basic notions underlying such a theory are contained in this work.

Key notions in the present approach are meaning as an 'individual' phenomenon, cognitive versus contextual meaning, a typology of function (according to different types of meaning in focus in various texts), and a consideration of the process of translation as a combined stylistic, linguistic and 'communicative' endeavour, where sociolinguistic aspects are highly significant.

This approach differs in emphasis from the one proposed by Kelly in that priority is granted to semantic aspects, upon which the model as a whole and its direction rest. On the basis of the firm belief that meaning is the most essential element involved in translation and that further clarification as to its nature is the first logical step towards an adequate, realistic approach to translation, I thus begin with an investigation of the nature of meaning aimed principally at the discrimination of a typology of

meanings [Chapter One]. A wider distinction, with subtypes, is recognised between the cognitive (or 'langue'-linked) aspects and the contextual (or 'parole'-linked) aspects of meaning. The second step in the 'démarche' is to examine with the help of practical examples, existing methods of describing these types of meaning in order to assess their usefulness to the translator. Chapter Two looks at the description of the cognitive meaning of words. Cognitive meaning at the syntactic level, also called 'grammatical meaning', involves us in the comparative consideration of different grammatical models, here T. G. G. and Systemics [Chapter Three]. The models are also studied as far as their usefulness to stylistic analysis, or the description of stylistic meaning, is concerned [Chapter Four]. It is ultimately demonstrated that description of cognitive meaning alone, and similarly, a grammatical theory whose focus is on cognitive meaning alone (or mostly), are simply not adequate to deal with the real translation problems. This does not [necessarily] point to an intrinsic failure of such description, but to the fact that most of, and the most complex, problems of translation do not occur at the cognitive, but at the contextual, level of meaning. The reason thus, for what may seem at times in the course of the dissertation a rather stubborn bias against T. G. G. must be traced back to an essential characteristic of the model itself [its focus on competence, and in general, matters

related to cognitive meaning] and its being at odds with the real concerns of translation. And similarly, it is for the same reason that T. G. G. may seem as though it is rather easily dismissed as regards its usefulness to stylistic analysis, where context and variation are the crucial notions.

The fact is that, all in all, it is the basis of the theory that is at fault, which is hard to overlook or compensate for; matters relating to the 'context of situation' [Malinowski's original notion] and facts of linguistic use are simply vital in translation, but basically ignored within T. G. G., whilst Systemics, which gets the lion's share of attention in this work, takes them as its most basic considerations. Chomsky made no secret of the fact that his main concern was for a model of the speaker-hearer's competence. It is no wonder therefore, that the neo-Firthian model, and the model of translation it potentially offers, in its sociolinguistic and functional orientation, is found to be so much more useful to the translator [Chapter Five].

There are a few points I wish to make perfectly clear. Firstly, the last two decades have witnessed a considerable proliferation of works in linguistics and semantics in particular and the field has consequently become so vast as to preclude thorough investigation, except by the finest and most knowledgeable experts. Lyons [1977] is an outstanding example of such an achievement, and his work constitutes an

invaluable reference for the student of semantics. But so much has been written since that another similar work would almost be needed now. Thus, the field of semantics is by no means comprehensively covered here. I have tried to focus on the most relevant literature for translation [of literary texts in particular], and for the problems inherent to the discipline. As far as the meaning of words is concerned, the theories of a number of philosophers [see Chapter One], some linguists [Nida, Halliday and Chomsky, mainly] and semanticists [Leech, Lyons, Ullmann, mainly] have been examined. Secondly, as regards T. G. G. and Systemics and my comparative study of these models and their underlying theories, it must be stressed that it is not, and was never meant to be, a comprehensive one^[8]. The essential issues, however, are examined. Thirdly, I wish to emphasise once more the practical orientation of the thesis. I am aiming at a 'practical' theory of translation, by which is meant a theory that offers a useful technique of approach to texts in the form of a systematic framework of linguistic and semantic (as well as stylistic) analysis [where rigor is shown at all these levels], which is derived from an appropriate linguistic and related principles of semantic, theory, or in other words, a linguistic and a semantic theory whose orientation and emphasis are most akin to the kinds of problems encountered in the practice of translation.

Finally, mention must also be made of the fact that I am assuming here, for the whole of the content of the work, the following interlingual translation situation where the translator is fluent in both languages he is working with, that is, the SL [source language] and the RL [receptor language], whilst possessing native speaker sensitivity to these languages^[9]. Other translation situations include one where the translator is working from his native tongue into a foreign language he has no knowledge of, or conversely, through the use of the dictionary, an informant, or both, and also unilingual, diachronic translation, from old into modern French for instance. These entail different, as well as similar, problems as those discussed here, but are not the specific object of study within this work, although diachronic translation and its problems are to some extent accounted for.

4. T. G. G. and Systemic approaches to translation

There have been only a small number of attempts at applying T. G. G. to translation, among which Katz, 1978; Walmsley, 1970; and Van Hoof, 1971, can be noted as the most optimistic ones, and quite a few of them, interestingly, reached a negative conclusion, to mention but Nida, 1976; Soll, 1971; Hodge and Kress 1974; Makkai, 1971; Bouton, 1976; Ganeshundaram, 1976; and Taylor, 1976^[10]. Nida's approach is particularly interesting. Although he was one of the first [if not the first] to apply the principles of transformational

grammar to translation, even before the publication of 'Syntactic Structures' by Chomsky, his investigations over the years have led him to adopt an increasingly restrictive attitude towards T. G. G.'s usefulness to translation in his recent writings [1976 in particular]. In fact, what Nida has been using is more a [simplified] adaptation of the theory than the theory itself. Before the formulation of transformational generative grammar, Nida had already adopted an essentially deep structure approach to certain translation problems. He had developed the approach for two principal purposes: [i] to provide a means of adequate analysis of complex grammatical structures in Greek and Hebrew and [ii] to determine the least unambiguous structure that might then serve as a basis for transfer into other languages. After the development of T. G. G. by Chomsky and his associates, Nida [1964] and Nida and Taber [1969] further elaborated their translation theory in terms of three stages: analysis, transfer and restructuring, in which analysis consists essentially in back-transformation to a near-kernel level. This constitutes the basic methodological approach to translation offered by a T. G. G. model. A further development of this theory would entail back-transformation to a completely abstract level, with a corresponding restructuring to that level in the receptor language which would be most appropriate for the audience for which the translation was being prepared. This is essentially the

position advocated by Walmsley [op. cit]. Nida [1976: 71] notes however, and Van Hoof [op. cit: 90-91] agrees with him, that 'in actual practice, the transfer from source to receptor language takes place at various subsurface levels, depending on the extent to which the two languages under consideration have corresponding semantic and grammatical structures'.

Therefore, even those who have actually applied T. G. G. to translation do not find the deep structure level as defined in Chomsky's theory, a very useful device in itself. The need has been felt by most to recognise various subsurface levels, and by all to acknowledge, and account for, sociolinguistic considerations. And it does not seem at all clear how the model can in fact be expanded to include the latter in any worthwhile manner^[11]. Besides, other inadequacies of the model were found to be numerous [see Nida, op. cit: 72-75] so that in the end Nida feels compelled to conclude that given the importance of context and receptors' expectancies in particular, 'only a sociolinguistic approach to translation is ultimately valid'.

It is significant that linguists who have applied T. G. G. to translation often end up proposing either a sociolinguistically-oriented theory of translation [like Nida], the extension of the theory to include such considerations, or actually declare, as Ganeshundaram [op. cit: 382], Hodge and Kress [op. cit: 15] and Kelly [op. cit: 227]

have, that the reorientation needed should go [in part at least] along the lines of Halliday's theory.

Applications of the neo-Firthian model to translation have been even more scarce than in the case of T. G. G., but far more successful. The most important ones are Firth [1968], Catford [1965], the most comprehensive and systematic one to date, and Ure and Ellis [1969], which all point to the importance of contextual meaning as a basis for translation. But while Catford's fails by the excess of its qualities, the others provide but the basic lines and trends to follow in much further research.

Note finally, that I am not advocating a purely sociolinguistic theory of translation. One does not want to end up with a 'sociological' theory of translation, any more than one could wisely aim at a purely linguistic or semantic theory of translation. The odds are, however, as present trends indicate [see Kelly, op. cit, the conclusion in particular], that in supporting a coalition between these disciplines, one is heading towards the happiest solution to problems and a better translation theory, and practice eventually.

Chapter One - Meaning1.1 The nature of meaning

One only has to look carefully at the number of meanings which can be attributed to the noun 'meaning', and to the verb 'to mean' [Ogden and Richards, 1923], to realise the multiplicity of issues that are involved in semantic discussions and theory. It would be very hard, indeed almost impossible, to give a comprehensive, unified account, or specific description of [all aspects of] meaning. A more realistic approach is to examine each aspect, one at a time.

A consequence, or perhaps evidence, of the multi-faceted nature of meaning is that the notion, from a number of points of view, has been discussed and studied by scholars of many different disciplines, the main ones being philosophy, sociology, psychology, formal logic, anthropology, and, of course, linguistics; moreover, semantic theory has benefited from cross-fertilisation between some of these disciplines. The interest of these scholars in semantic issues no doubt arose from different motives, according to each one's own focus of study, and similarly, each discipline has rather consistently exhibited a particular interest in one or several, different aspects of meaning. The philosopher studies meaning mainly as an obscure concept, the general purpose of his work being to analyse and explain such concepts in the minutest detail, but he is also motivated by the fact that as his work is done in language, he is constantly in contact

with the problems involved in meaning. Up to very recently [Tymoczko, 1978, Putnam, 1978; Wheeler, 1978 mainly] philosophers mainly focussed their attention on the logical aspects of meaning [except Peirce, 1934, perhaps]. The sociologist and the anthropologist are interested in meaning because it is an essential part of man's communicative apparatus, to interact socially with his fellow-beings; their approach is mainly behavioural and functional. The psychologist studies meaning mainly because of its bearing on mental phenomena. As for the linguist, evidently, he investigates it because of its close interrelationship with linguistic structure and language. But the translator's, like the semanticist's, interest in meaning is of a different kind; they study meaning for its own sake, and most importantly, they are concerned with all the aspects of meaning [like some linguists such as Nida, and certain sociolinguistically-oriented linguists like Halliday]. The translator's approach, however, differs from all the above-mentioned ones in that it arises from a basic need. For him the issue of meaning is simply crucial; it is the foundation of his work and progress in the semantic field may be useful to him directly, not only in a more or less intellectual manner, for the sake of theory, but in a real practical manner, in his daily work. It is no wonder therefore that the translator's concern for meaning should cover all its aspects which the above scholars are dealing with more or less individually.

On the other hand, the translation field, theory and practice, might very well constitute a test for semantic theories. Nowhere in the field of linguistics are problems of meaning so conspicuously put in evidence as in translation. A translator is compelled to retrace all possible kinds of semantic intentions of the author, implications, pre-suppositions and overtones in order to grasp the meaning of the text to translate thoroughly; and he must subsequently recreate the original's structure within a different linguistic matrix. He is thus likely to reach, in the course of the practice of his work, unusual insights into the nature of linguistic and semantic structure. The works of Nida and Kelly (1979) corroborate this.

I would thus consider it the first essential task of a theory of translation to discriminate between the various existing types of meaning, as without such a typology, some confusion might be present in the translator's dealings with, and handling of, meaning in texts. But before going into that, in order to clear the mind from unnecessary, and at times harmful, beliefs about meaning it is useful I think to rule out in the first place what meaning is not, and then to give a generalised description, however inadequate, of what meaning is, from which it will then be possible to proceed towards specific types.

Quite evidently, the meaning of a word or expression is not that word or expression, but less evidently, it is not either any possession of, or any entity contained in, that expression. As Nida says [1975 b : 26]:

' . . . in reality a word is only a behavioural event and in a strict sense cannot be said to possess anything. Meaning must be related to the conceptions which the participants in a communication event have or come to share and which they associate with a particular lexical unit'.

Neither is meaning an entity outside linguistic expressions, in the practical world, in which case the meaning of a word such as 'apple' is said to be the thing it refers to, by a relationship of the symbol to the real thing. This, in fact, is a type of meaning usually labelled 'reference', or 'denotation' [see Lyons, 1977: 176 and 206-215], but it cannot purport to be the only type of meaning, or a unitary account of the meaning of all words. If it were so, how could we account for the fact that we have words which do not have referents in the real world as we (at least most of us) perceive it, such as Santa Claus, or 'fairies' and 'angels'. But even in the case of ordinary instances of reference, the reference relationship is not one between a word and the real thing, but between a word and a concept or set of concepts we have about phenomena, objects, actions, or relations and abstractions. As Peirce [op. cit: 4], and

later on, in a clearer and more schematised manner, Ogden and Richards [op. cit] via Ullmann [1967] put it:

'The object of a sign is one thing; its meaning is another. Its object is the thing or occasion, however indefinite, to which it is to be applied. Its meaning is the idea it attaches to that object, whether by way of mere supposition, or as a command or an assertion'. [Peirce]

Ullmann [op. cit: 55], following Ogden and Richards [op. cit: 11], like many other writers on semantics and communication, conveniently illustrates the views expressed above by means of a diagrammatic representation in the form of a triangle.

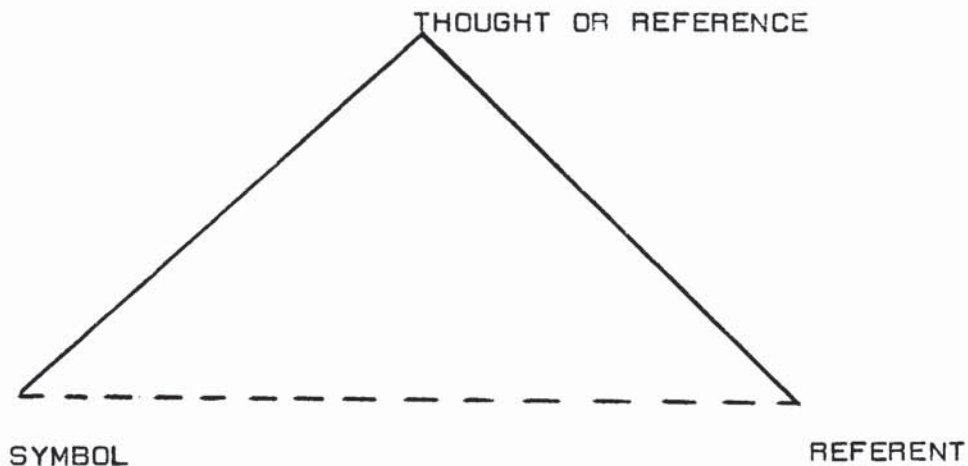


Figure 1.1 Ogden and Richards' basic triangle

The analysis of meaning which this diagram represents can be summarised by the following mediaeval maxim [Ullman; op. cit: 56]: 'vox significat [rem] mediantibus conceptibus', which may be translated as 'the word signifies [the thing] by means of mediating concepts'. In Ullman's words [op. cit: 55-6]:

'On this reading there is no direct relation between words and the things they 'stand for': the word 'symbolises' a 'thought or reference' which in its turn 'refers' to the feature or event we are talking about'.

The fact that the relationship between the symbol and the referent is indirect, being mediated by a concept or concepts, is represented by a dotted line, unlike the two other continuous lines which indicate two more basic relationships. I will not go into theoretical discussions on the interpretation or implications of the 'basic triangle' representation of meaning, some of which may be found in Lyons (op. cit: 95-99). It suffices for my present purpose to recognise the basic principle that there are three main components of meaning; as to the question of how to call these, it involves a terminological problem since a number of different labels, used in various senses, were proposed by various semanticists. I will settle here for thought or reference (at the top of the triangle), sign, symbol or word (at bottom left of the triangle) and significatum (a neutral term for whatever it is that a sign stands for, following Lyons, op. cit).

Although difficult to read, Peirce has contributed a number of original ideas to the theory of meaning; in fact it is in his writings that most of the basic principles underlying the modern field of semiology were found. Peirce agrees with Ogden and Richards, Ullmann and Nida that the meaning or significatum of a word is a set of concepts, that

is, a set of relations of kinship or contrast between various features. But he stresses that before that which can be compared [thoughts] comes into existence, there is what he calls 'qualities of feeling', which is the immediate as it is in its immediacy, pure Thought, pure Being, and that the relation between 'qualities of feeling' and actual subsequent thoughts [the element at the top of the triangle] is very inadequate. Thus, it is representations of 'feelings' [thoughts] and not the 'feelings' themselves we give linguistic representations to [sign or word] and which, ultimately, generate the concepts which constitute the semantic features of a word or expression [significatum]. Language can never do justice to what is initially perceived, to the 'unique and such as it is quite regardless of anything else' as Peirce calls it, and 'this' is perhaps, what poetry tries to recapture through special uses of language. However, poets seem to have felt the burden of the fact that, in the end, language in its finiteness cannot grasp 'The Real' in its infiniteness, as this poem by Wallace Stevens, entitled 'The Blue Guitar',^[1] illustrates; the 'blue guitar', of course, is language, and the last four lines refer to the creative aspect of language as it is used by the poet.

They said, 'You have a blue guitar.
You do not play things as they are'.

The man replied, 'Things as they are
Are changed upon the blue guitar'.

And they said then, 'But play, you must,
A tune beyond us yet ourselves,

A tune upon the blue guitar
Of things exactly as they are'.

Peirce, on the other hand, formulates as follows (op. cit: 173) his view that the meaning of a word lies not in the initial thought itself (a 'quality of feeling') but in the concepts which are subsequently connected with it by further thoughts.

'No present actual thought (which is a mere feeling) has any meaning, any intellectual value; for this lies not in what is actually thought, but in what this thought may be connected with in representation by subsequent thoughts; so that the meaning of a thought is altogether something virtual'.

And he explains further:

'At no one instant in my state of mind is there cognition or representation, but in the relation of my states of mind at different instants there is'.

As far as the nature of meaning is concerned, Ogden and Richards, Ullmann's, Peirce's and Nida's similar view of meaning as a set of interrelated concepts associated in the mind with a certain sign or word seems the most satisfactory. However, this definition remains very general. It will be seen in the typology of meanings which follows that, depending upon the kind of concepts and relationship

between concepts involved in the meaning of words [affective, cultural, reflected etc. . .], we can discriminate between different types of meaning.

1.2 Types of meaning

By examining synthetically various classifications of, via theories about, meaning, which were proposed by a number of philosophers [Russell, Strawson; Frege, Alston, and many others], some linguists [Jakobson, Bühler, Nida and Vinay & Darbelnet, mainly], semanticists [Leech, Lyons, Ullmann] and certain sociolinguists [Halliday mainly, but also Crystal and Davy, indirectly], I hope to reach a typology of the various kinds of meaning that can be observed. Some of these scholars, philosophers in particular, tend to present their views as mutually exclusive. It seems to me more realistic and useful to consider differing theories of meaning in the light of each other, as complementary to some extent, rather than radically opposed. No existing theory of meaning may claim to have found 'the truth' about meaning; each of them rather, contributes 'some truth' on the issue. In the context of translation, and perhaps also in the wider context of semantic theory, each of these contributions is [to various degrees] useful, relevant, and thus valuable.

On the whole, the question of the nature of meaning has been approached from two different facets which correspond to the two principal aspects of language, namely (i) 'langue',

or language as norm or structured system and the logical aspects of meaning, with which T. G. G., as well as most philosophers, are concerned; and (ii) 'parole', or language in use (that is, real instances of linguistic use), with which aspects certain philosophers (Tymoczko, Putnam and Wheeler, *op. cit.*, mainly), certain sociolinguists (like Halliday, Labov, Crystal and Davy) and a certain sociolinguistically oriented type of grammatical system such as Systemics (Firth, Halliday, Ellis and Sinclair mainly) may be associated. It is crucial to note, however, that Systemics incorporates both 'langue' and 'parole' within a functional view of language as a whole, the 'langue' aspects being considered as motivated in their structure by the social, functional uses they serve for us. But from the point of view of its focus, that is, the kind of, and aspects of linguistic events, it is most concerned with and the whole orientation of the theory of language it represents, Systemics may be associated with 'parole' (or language in use) more specifically than with 'langue', even though the model is a comprehensive unified theory of 'langue' (on a functional basis) where, in fact, the Saussurean and T. G. G. distinction between competence and performance is not recognised.

The Saussurean dichotomy 'langue-parole' however, can provide a useful classificatory frame within which to fit the various types of meaning distinguishable. Generally

speaking 'langue' is characterised by a certain fixity, generality, and abstraction, and 'parole' by variation, particularity and realism or actualisation. The types of meaning that can be associated with 'langue' are: (i) sense, or cognitive meaning at word or phrase level and (ii) grammatical meaning (in the deep structure sense), or cognitive meaning at the sentence level mainly; these types of meaning are relatively fixed, abstract and general in the sense that (ii) represents a fixed norm, and (i) certain constant components of meaning independent of the context. The types of meaning subsumed under 'parole' are: (i) affective meaning, (ii) stylistic meaning, (iii) cultural meaning, (iv) thematic meaning, (v) reflected meaning, and (vi) collocative meaning; which are stylistically marked, highly dependent on, and determined by, the context of situation, and thus highly subject to variation and closely tied to actual use.

A number of other classifications have been proposed, which can be associated with the above one, on a general basis. Bühler distinguishes three functions in language, namely symbol, signal, and symptom (Newmark, 1973: 3; in Kelly, 1979: 68); Halliday [1973] discriminates between the ideational (logical and experiential), the interpersonal and the textual functions, whereas Jakobson [1960] speaks of the conative, the phatic and the poetic functions. Lyons [op. cit: 50] prefers to distinguish the descriptive,

the social and the expressive functions whereas Nida favours a dual classification of referential meaning and emotive meaning. There are differences involved in these classifications, but they are nevertheless related in that they all see the distinction between the cognitive, or logical aspect of meaning and the more socially oriented, context-linked aspects. Most authors distinguish between two of such context-linked aspects, but I think they would probably agree, as I do, with Lyons (op. cit: 51) that the latter, let us say the social and expressive functions, in Lyons' terminology, are closely related. That is why in the categorisation of types of meaning proposed above, a wider, general distinction has been made between the cognitive aspects of meaning, subsumed under 'langue', and the social-expressive aspects, subsumed under 'parole'; and it also justifies the fact that, as mentioned later on, the types of meaning which are discussed under 'parole' often are interrelated; stylistic meaning for instance involves all the other types. However, despite the ties that exist between them, it is useful to distinguish between each of these types of meaning as they involve different characteristic considerations, and because such a discrimination permits to reach more detailed insights into the different aspects of meaning.

1.3 Types of meaning related to 'langue'

- (i) Sense, or the cognitive meaning of words and phrases.

The term 'sense' is used here to designate the cognitive meaning of words or phrases only, although, in fact, clauses and sentences also do have 'sense' [2]. However, to avoid terminological confusion, I will henceforth refer to the 'sense' of sentences (and clauses) as 'grammatical meaning', as such meaning is a function of the grammatical relations that hold between constituent parts of clauses or sentences. Sense here includes both reference and denotation, although some authors differentiate between the two (see in particular, Lyons, op. cit: 176-215) [3]. Other terms which have been used for this type of meaning in the literature include referential (meaning), descriptive, ideational and symbol.

By cognitive meaning, or sense, is meant those components in the significatum which are more central [4], stylistically neutral, independent of the context of utterance of the word or phrase, and which have to do with the description of a state-of-affairs; the latter, in Lyons' words [op. cit: 50] 'can be explicitly asserted or denied, and, in the most favourable instances at least, it can be objectively verified'. For instance, the words 'auto' and 'bagnole' can both be used in the description of the same car; both words share similar components of meaning as far as the description of the object they refer to is concerned,

and can thus be said to be [more or less] cognitively equivalent. They are, however, clearly differentiated as far as their contextual, social components of meaning, and therefore their use in actual contexts, are concerned. 'Bagnole' sometimes has an affective component expressing familiarity, almost affection, which is absent from the meaning of 'auto', so that the two terms possess different stylistic meanings, and uses.

Moreover, it is also part of the sense of a word that it should be related in certain various ways to other words [see next chapter]. For instance, 'bachelor' is related to 'spinster', 'unmarried', 'single' and 'married', which are members of a kind of semantic family. As Lyons [op. cit: 204], corroborating Nida, pointed out:

'By analysing or describing the sense of a word is to be understood its analysis in terms of the sense relations which it contracts with other words'.

The description of the cognitive meaning of words is the subject of the next chapter.

(ii) Grammatical meaning

It has been pointed out above that grammatical meaning is a function of the grammatical relations that hold between the constituent parts of clauses or sentences. It must be emphasised, however, that grammatical meaning is only

concerned with such relations at the deep structure level. Grammatical relations at the surface structure level of clauses or sentences [thematic and information structure mainly] have to do with thematic meaning, subsumed under 'parole' in the present typology of meaning. The meaning that is expressed at, and depends upon, surface structure is not cognitive, but social-expressive in nature (either stylistic, affective, or thematic more specifically).

The description of grammatical meaning will lead me to examine grammatical models and their underlying theories, that is, T. G. G. and Systemics [see Chapter Three]. Within T. G. G. deep structure relations are described formally by means of the well-known trees; Systemics uses a somewhat similar formal representation, namely bracketing ([], [] etc. . .) but also a more semantic description in similar terms to those of Nida as described below. T. G. G. has no equivalent of such semantic description.

Nida [1975 a] distinguishes three types of [deep structure] relations between verbal units: [a] participation, or the ways in which agents, recipients, affected constituents, instruments, locations etc. . . relate to events, processes and states; [b] qualification, or the ways in which events, entities and abstracts are qualified, quantified, intensified, etc. . . , by attributives; and [c] relationship, or the ways in which certain constituents are related to others in

space, time and logical circumstances, by juxtaposition, order, or particles, for instance prepositions and conjunctions.

On the whole, the cognitive aspects of meaning have been widely discussed by philosophers, mainly in terms of propositional content or truth-value [Tarski, 1935], reference and reference failure [Frege, 1892 ; Strawson, 1971], denotation [Russell, 1905 ; Lyons, op. cit], presuppositions and paraphrases [Wiggins, 1971], intention [Grice, 1971], and also in terms of the practical consequences of concepts and 'the interpretant' [Peirce, op. cit]. The papers written by these scholars are very illuminating concerning most aspects of the issue of cognitive meaning, but they nonetheless fail in one essential, as regards translation at least, namely in that their reflections are mostly based upon artificial contexts and utterances which are moreover highly limited in length. It is not surprising to find, therefore, that their conclusions are accordingly limited in their usefulness and applicability to real contexts and instances of linguistic use [texts to translate for example]. These shortcomings, which are mostly due to the majority of philosophers' omission of contextual considerations, are somewhat counterbalanced by the detailed and insightful comments these scholars have made, and for which the linguist, the semanticist and the translator remain highly indebted.

1.4 Types of meaning related to 'parole'

In this category are included all the varieties of associative meaning described by Leech [1974] (i.e. connotative, stylistic, affective, reflected and collocative meaning), thematic meaning [Halliday, 1970: 162-4] as well as cultural meaning, all these kinds of meaning being akin to what Nida [1975 a] calls the 'emotive' type of meaning. Moreover, Wittgenstein's definition of the meaning of an expression as its use in the language is relevant to the types of meaning described in this section. The focus of attention here is not so much what is said in a strict sense, but the manner in which it is said (the form of linguistic expressions), the relationship between the latter and the socio-cultural setting of the utterance, and the reactions produced by the speech act on the hearer or reader. As Nida says [op. cit: 18]

'... emotive meanings are not relatable primarily to language as a structure, but rather to the manner in which this structure manifests itself specifically in actual discourse'.

[i] Affective meaning

Two subtypes may be distinguished within this type, depending upon whether one is examining [a] the speaker's emotions or [b] those created in the hearer by a text or instance of discourse. The affective type of meaning is

usually expressed through stylistic features; in fact this particular type of meaning often overlaps the two following ones as stylistic and cultural connotations are in many instances affective ones, and conversely.

a) There are various ways a speaker-writer can use to express certain kinds and degrees of feelings towards the content of an utterance, or towards the addressee. He can choose to use words which involve affective components of meaning rather than their neutral equivalents (black and nigger e.g.). Note that certain words, like 'nigger' are always affectively marked, in any context, whereas others, such as 'baby' will have affective meaning only in certain contexts, by connotations of, and association with, ideas of smallness, loveliness, motherhood, vulnerability etc . . . , as in 'I love babies'; but compare the latter with the following, in a book on mothercraft, 'Put the baby in his cot, and close the door'.

Emotive expressions of feelings through style can take the form of an impolite tone combined with a certain syntactic structure, to express displeasure for instance, as in 'Will you belt up', while the same cognitive content could have been expressed by 'Would you be kind enough to stop talking'. Feelings can also be effectively expressed by breaking up expectations, using colloquial language in a formal setting, or formal language in a casual setting for

example. Or the whole affective impact may be contained in the intonation, as in 'Women!' (with a sign, meaning something like 'These women, all the same!'); or in an onomatopaeic expression such as 'Aha', 'Oh', or 'Yippee'. The linguistic expression of affective meaning [in the spoken medium] is also often accompanied by certain paralinguistic features such as loudness or lowness of voice, gestures, facial expressions and certain qualities of pronunciation, which all form part of the meaning of the communication act performed in a real situation, although these are not usually formally accounted for by the linguistic system. These features are universal in that they exist in all languages, but there are marked variations between different languages, and even between different speakers of the same language.

b) As for the hearer-reader, he can react to an utterance in a number of ways, and there are several factors of the context of the communication which may influence him in his reactions. This second type of affective meaning can be best described in terms of the hearer-reader's expectations which are either fulfilled or unfulfilled by an utterance, or, in Nida's words [op. cit], in terms of appropriacy or inappropriacy of utterances. Nida describes this type of meaning in great detail; he distinguishes three sets of factors from which the hearer-reader's expectations are derived: in general, we expect 1) certain forms to be used by certain persons who habitually use them [geographical, socio-economic dialects

mainly]; 2) consistency between the forms and the settings in which they are usually employed (registers e.g.; formal language is expected in a formal, but not in a casual, setting); Nida further distinguishes four main factors forming the context of the setting, namely (i) time, (ii) place, (iii) roles of participants (social and occupational relationships, e.g. father-son, teacher-student, doctor-patient), and (iv) degree of formality of setting (formal, informal, casual, intimate etc. . .);^[5] 3) certain forms to be used when dealing with particular subject-matters (technical language versus poetic language, the syntax of newspapers, scientific journals or road signs, etc. . .).

In other words, depending upon whether a word, phrase or sentence is used by the expected person, at the expected time and place and so on, or not, it will provoke in the hearer-reader favourable or unfavourable emotive reactions. The affective meaning described above is not contained in the word, phrase or sentence itself, therefore, but rather in the circumstances of its use, and in the expectations that have been set up about these circumstances.

[ii] Stylistic meaning

Although stylistic meaning is, in many respects, social in nature, and is related to the affective type of meaning described above, and also to the following type, it is useful to distinguish it from these when dealing with literary texts

at least. Stylistic meaning mainly has to do with the relationship between form and meaning [at morpheme, word, phrase, sentence or whole text level], and more with the meaning of whole stretches of discourse [whole poem or book for instance] than to that of single utterances, although stylistic features at word, phrase or sentence level contribute to the meaning as a whole of the longer unit of discourse. Stylistic meaning can thus be defined as the meaning that is conferred to a unit of discourse [ranging from the morpheme to a whole work] by its individualising, characteristic, formal linguistic and contextual features, that is, in other words, by the choice of certain forms rather than others [which would or not, have been suitable] and the particular combination of these features in a given text, which ultimately make it a unique communicative act. It is therefore a particular combination of features [in a word, phrase or text], the choice of certain formal features at various levels and their relationship with the meaning [theme and subject-matter] of a text, which may be said to have stylistic meaning. Considered individually, the characteristic features of a text will be affective, cultural, thematic or other, in nature; that is why this type of meaning is so closely linked with the other types. But these instances of the various types of meaning are semantically motivated differently, and occur in a unique combination in each individual text, and it is this unique combination, the

individual choices of which it is composed and their semantic relevance stylistic meaning is concerned with. In the translation of literary texts, in which I am mainly interested [and ultimately perhaps, the same comment applies to any translation; see Introduction and Section 5.3], I find this notion highly illuminating and useful. Analysing the parts helps to understand the whole; but it must always be borne in mind that it is not by mere juxtaposition, but rather by a unique interrelationship between one another, that the parts create the whole.

Stylistic factors are of a dual nature, as mentioned earlier. There are linguistic and contextual ones; among the contextual factors, one can also distinguish [Ellis, 19] between the wider and the immediate situation factors, as described below. The contextual factors mentioned below are based on Ager [1976], whose work reflects Crystal and Davy 1969, and also Firth 1950 and Hymes 1967, and whose model of the communication act is reproduced in Chapter Five [Section 5.1]. As for the linguistic factors, they can be found, with further explanations in Leech [1974: 16]. The contextual factors are the features of the author's personal background [immediate situation] and/or of the macro-cultural background [time, place, social, economic, cultural and political history and a world-view shared by speakers of a language [thought and behaviour patterns, beliefs about the world and so on]] bearing on the occasion of the speech act, which

influence the choice of certain forms at the linguistic level, and the semantic interpretation of the text. Formal choices may also be motivated by the logical content of the speech act. The detail of the main linguistic and contextual factors which have to do with stylistic meaning is given below.

1. Linguistic factors

[i] dialect

[ii] medium [spoken, written]

[iii] if spoken : intonation

pronunciation

accent

if written: tone, rhythm etc. . .

[iv] language level or register

a) lexical register

b) syntactic register

[v] genre [poem [and which kind], novel, scientific text, newspaper article, etc. . .]

[vi] grammatical structure

2. Contextual factors

A Immediate situation, or personal background, factors
[in random order]

- [i] author's sex
 - [ii] age
 - [iii] race
 - [iv] status [social and occupational]
 - [v] geographical origin
 - [vi] personality
 - [vii] temperament
 - [viii] preferences
- B Wider situation, or macro-cultural, factors
 [in random order]
- [i] time [epoch, century]
 - [ii] place
 - [iii] macro-cultural history [political, social, economic
 and cultural]
 - [iv] world-view [thought and behaviour patterns, systems
 of beliefs]

Particular combinations of various aspects of these factors implied in communication acts or texts will create different stylistic meaning for each different text. Various different formal features will be found to predominate in

different kinds of texts. Foregrounding will be found to exist when certain features of a text are relevant and contribute to the meaning of the text (subject-matter or theme), either at the cognitive, or contextual level. Halliday explains the notion of foregrounding, crucial in stylistic studies, as follows [1973: 113]^[6]

'Foregrounding as I understand it is prominence that is motivated. It is not difficult to find patterns of prominence in a poem or prose text, regularities in the sounds or words or structures which stand out in some way, . . .; a feature that is brought into prominence will be 'foregrounded' only if it relates to the meaning of the text as a whole. This relationship is a functional one: if a particular feature of the language contributes, by its prominence, to the total meaning of the work, it does so by virtue of and through the medium of its own value in the language - through the linguistic function from which its meaning is derived. Where that function is relevant to our interpretation of the work, the prominence will appear as motivated'.

For instance, in a poem about someone in a state of expectation, the pre-position of several bound clauses at the beginning of the poem could be said to be semantically relevant at the whole poem level, in which case this syntactic feature would be a foregrounded linguistic feature of the poem. On the other hand, in a French-Canadian novel, the use of certain anglicisms, or pejorative expressions to refer to English-speaking people (e.g. 'blokes') would have different

affective impact and stylistic meaning if the author is known to be a separatist or a federalist. Or else, in a French-Canadian play of lower-middle class setting, whose language level is 'joual' all through, if a character were to adopt an English accent, or to speak France-French ('à la française' as French-Canadians call it), this character would immediately be classified as an outcast in the context of the play, and the author would probably be considered to be a separatist. In this particular example, these accents or lexical choices, by contrast with the language register of the whole play (joual) are foregrounded features of the text in that they are relevant to the socio-cultural setting of the play; and the choice of this particular socio-cultural setting, in turn, has probably been motivated by the socio-political views of the author, which were themselves influenced by spatio-temporal historical and cultural factors, namely the geographical proximity of Canada and the U.S., American (and English) influence in Quebec mainly, and its cultural, social and economic consequences for the French-speaking population of Canada.

As can be easily gathered from the above examples, and as mentioned earlier, stylistic meaning arises from an inter-relationship between various linguistic and contextual factors. In résumé, the particular combination of these factors in a given text is unique and it is the author-speaker's choices at various levels, from a set of potential

alternatives, and the semantic [cognitive or contextual] motivation or non-motivation of these choices, which have to do with stylistic meaning.

(iii) Cultural meaning

This type of meaning consists in the meaning that is associated with a word, phrase or structure because of its cultural connotations, that is, its referring to realities belonging to a specific world-view [which implies culture-specific patterns of thought and behaviour, interpretation of events or experience and beliefs] and/or macro-cultural background [social, political, cultural and economic history]. For instance, the word 'blokes', cited above, from French-Canadian colloquial usage, has, in addition to its affective component of meaning, cultural meaning; in fact, its affective meaning is derived from its cultural connotations of the English and American peoples' economic and cultural domination and exploitation of the French-Canadian people. Another example is the word [for] 'woman' which, in addition to its basic cognitive meaning, has different socio-cultural connotations in the Eastern and Western worlds, and still different ones at different times within each culture. Cultural meaning is mainly described here in terms of differences between cultures, or between certain groups within the same culture, as we are aware of cultural meaning only by comparison within or between cultures. One can distinguish

between cultural differences of meaning at [a] the lexical level; [b] the syntactic level; and [c] the metaphorical level of language.

[a] At the lexical level there are:

[1] differences, in nature or degree, in the connotative meaning of a word [e.g. 'woman'] in different cultures; in the Eastern world, 'woman' has connotations of passivity, emotionality or a certain weakness, motherhood, housewife, etc. . . , which are much stronger than in the Western world, owing to the different cultural and social status of women in these worlds. Such, or similar, differences also exist within a culture, between epochs or centuries, on a diachronic level.

[2] differences in the lexical range available in different languages to describe a similar situation. For example, colour terms vary in range [and perhaps coverage] in various languages; also, northern people have a much wider lexical range to describe snow, ice and cold, than people from temperate climates. But family relationship is probably one of the areas where the widest variations occur; consider Persian for instance, where there are four different words for 'aunt' (and similarly for uncle) depending upon whether she is [1] the sister of the father ['ame'],

[2] the sister of the mother ['ghole'], [3] the father's brother's wife ['zan amu'], or [4] the mother's brother's wife ['zan da'f'].

- [3] differences in [cognitive] meaning coverage of two words in different languages which are usually considered equivalent to each other. 'Woman' in English, and 'femme' in French are a good example; 'woman' means 'female', and rarely 'wife' [dialectal use only], whereas in French, 'femme' means both in general use.
- [4] references to realities exclusive to a given culture and for which, therefore, other languages have no equivalent. These realities may be material [certain instruments], ecological [climate or vegetation], socio-cultural, or religious . In this particular case, the cognitive meaning of the word itself is essentially cultural. The term 'poudrerie' in French-Canadian usage, to describe a kind of snowstorm is an example ['tempête de neige' also exists, but is less poetic]. These are the words which often in translation, have to be transposed as they are in the RL text, possibly with an explanatory footnote, or, in some cases, whose meaning has to be adapted by the translator to suit the RL culture. In the case of direct transposition, it is also in the sense that

these words help the reader to situate the text in its proper socio-cultural background that they may be said to have cultural meaning.

- [5] different uses in the same situation within the same language justified by geographical factors [dialects; American versus English, or French-Canadian versus French, usage for instance]. In this case too, the occurrence of certain specific instances of dialectal use endow a text with cultural connotations.

(b) Cultural meaning at the syntactic level consists of:

- [1] cultural connotations associated with certain linguistic features or structures which are perceived by some [e.g. Rafroidi, 1970] as reflecting some general characteristic traits of the people who speak the language. In English, a few such syntactic features are [op. cit]: [1] lexical and syntactic economy; [2] tendency towards the concrete [English commonsense]; [3] predominance of passive [which Rafroidi associates with a certain taste for conformism and respect of conventions]. In French one can note [1] tendency towards the abstract [Ullmann, 1967: 121-2] [French intellectualism]; [2] lexical and syntactic affluence, which may be motivated by the characteristic love of precision of the French language [and which may be associated

with the Latin temperamental tendencies, towards exaggeration for instance].

- [2] the special linguistic characteristics of different languages. The Hopi language for instance has many verbal aspects [see Whorf, 1956] which do not exist, and are therefore hardly translatable, in French. Also, some languages express some concepts in verb-like words, while the English language usually expresses them in nouns. Or else, in Farsi for instance, there is no differentiation between genders, either masculine, feminine, or neutral, which makes translation into European languages, like French in particular, very difficult. The particular linguistic characteristics of a given language may be used by authors towards certain unique stylistic effects, or may generally produce these effects whether the author is aware of the fact or not. The Chinese language, and Chinese poetry in particular [see Chapter Five], through its special features, namely, absence of time, number and gender, and fluidity of parts of speech mainly, resulting in typical effects of concision and a certain ambiguity and universality, is especially remarkable in this respect.

[c] Cultural meaning at the metaphorical level consists of:

[1] cultural differences in the figurative expression of a similar idea by different languages [idioms, proverbs], in which case the cognitive content of the two expressions is approximately equivalent but the image chosen to express it varies (an example: 'to have other fish to fry' versus 'avoir d'autres chats à fouetter').

[2] cultural specialisations of figurative meaning [Nida, 1975 a : 77], i.e. cases where a language chooses to express an idea figuratively while other languages do not; in Mazatac for instance, 'head-soft' means 'smart'; and 'to carry softly' means 'to steal' [op. cit].

[iv] Thematic meaning

This type of meaning arises at the surface structure level of clauses and sentences. Thematic meaning is the meaning that is conferred to a clause or sentence by the emphasis expressed in the order of occurrence of its constituents. This type of meaning is related to the notions of topic, comment, theme and rheme, focus and markedness [see Halliday, 1970: 160-66]. Depending upon how a writer-speaker chooses to organise his message (a certain conceptual content) he may endow it with different communicative value.

For instance, it is often felt that a passive sentence does not have exactly the same meaning as its active counterpart, although both share the same cognitive meaning (in the deep structure sense). Thematic meaning contributes significantly to stylistic meaning.

The two following types of meaning, which arise at the lexical level only, are distinguished by Leech (op. cit.).

(v) Reflected meaning

'Reflected meaning arises when one sense of a word forms part of our response to another sense' [Leech, op. cit: 19]. As an example Leech mentions the expressions 'The Holy Ghost' and 'The Comforter' both referring to the Third Person of the Trinity; Leech says that his reactions are conditioned by the non-religious, ordinary meanings of the words 'ghost' and 'comfort' (the former sounding frightening and the latter comforting and supporting). He further remarks that 'the sense of one word seems to 'rub off' on another sense in this way only when it has a dominant suggestive power, either through relative frequency (as in the case of The Holy Ghost) or through the strength of its associations', as for instance in the case of taboo words such as 'intercourse' or 'erection' which are very difficult to use in their ordinary senses without conjuring their sexual association.

[vi] Collocative meaning

'Collocative meaning consists of the associations a word acquires on account of the meanings of words which tend to occur in its environment' [op. cit: 20]. Examples Leech gives include 'tremble' [with fear] and 'quiver' [with excitement]; 'wander' and 'stroll' [cows may wander but not stroll]; 'pretty' and 'handsome' which usually collocate with different words. As Leech rightly points out, however, all differences in potential co-occurrence need not be explained in terms of collocative meaning; some may be due to stylistic differences or semantic (cognitive) differences [selection restrictions].

Chapter Two The description of cognitive meaning:
words; componential analysis

The methods of componential analysis of meaning seem to have developed independently in Europe and in America. The earliest and most influential advocates of componential analysis were Hjelmslev and Jakobson; their views are not identical but closely related. Among their followers, in the European group the most important ones are Greimas [1965, 1970], Pottier [1974], Prieto [1964, 1966] and Coseriu [c.f. Coseriu and Geckeler, 1974]. Lyons notes [1977: 318] that in America the theory was not first proposed by linguists, but by anthropologists [c.f. Goodenough, 1956, 1965, Lounsbury, 1956, 1964; Wallace and Atkins, 1960]. Only later on was their theory generalised by scholars such as Lamb [1964], Nida [1964, 1975 b] and Weinreich [1963, 1966] and Katz and Fodor [1963].

The present chapter comprises two main parts. At first, I introduce discussions on the notions of formal semantic and translation units and basic sense relations, that is synonymy and ambiguity (mainly following Ullmann, 1967). This is followed by an outline in some detail of how componential analysis works, or can be done. This is essentially a descriptive, non-critical exposé heavily based on Nida [1975 b], and which also reflects Lyons 1977 [Chapter Nine in particular]. I will not go into the

similarities and differences involved between the various versions of componential analysis, but have chosen rather to examine one version in some detail [Nida's] in the light of Lyons' synthetic discussion, with the purpose of assessing the usefulness of such description for translation, theory and practice.

The second part of the chapter comprises my conclusions supported by a critical reexamination of the examples used in the first part, from a social, stylistic, and at times historical, point of view. I hope it will be made clear that the old translation concept of faithfulness ought not to be, as it has been in the past, too tightly bound to the logical dimension of meaning. In other words, for the translator, who may not ignore the semantic contents which may be lumped together under the label 'contextual meaning', logical content studied on its own does not contribute much to the simplification of his task. When the cognitive content of a word is reexamined in the light of the relevant situational, historical, geographical or other factors, its real value is seen in its proper limits.

In fact, one aspect of language which becomes conspicuous when dealing with translation is its imperfections as a communicative tool. It is certainly not deficient as a system, on the contrary, the more one studies linguistic structure, the more one is amazed at its intricacies, at what

it does for us and how well it functions. But it is nevertheless a fact, which is made more obvious by translation, that linguistic communication never is perfect, even when such simple linguistic events as 'yes' and 'no' are concerned; paradoxically enough, 'yes' may mean 'no', and conversely, given certain contexts and intonations of the speaker. A number of scholars throughout the centuries have deplored this aspect of language, often blaming the word alone. Ullmann on this subject [1967: 116] quotes Plato, Valéry, Camus, Voltaire, Byron, Verlaine, Mallarmé and Wittgenstein, and speaks of 'concepts with blurred edges' an appropriate image to describe the indefinite aspect of language. But surely the blame cannot fairly be laid at the word's door alone. The linguistic system as a whole comprises closely entwined definite and more or less indefinite formal and semantic aspects. Moreover, linguistic communication does not occur in a vacuum, but is closely linked to situational circumstances of use. These aspects of the communicative act, which can be specified by description to a certain extent, often are taken for granted by speaker and hearer in unilingual communication, without the message being impaired. But obviously, this cannot be true of interlingual communication, where the situational conditions are different for speaker [writer] and hearer [reader]. The fact is that meanings in one language are related to, and only exist in function of the wider, social,

historical, political [and so on] background of the speakers, and that the meaning potential of a language can only be grasped and described against such a background. As no two societies are alike, there is no exact one to one correspondence between any two languages, either at the lexical, syntactic or semantic level.

For translation theory this would logically entail the principle of the impossibility of translation, which might be true in absolute terms. But as translation is done daily, everywhere in the world, for a variety of purposes, I am more concerned here with practical ways of improving its quality than with absolute principles. Practical efforts should be directed towards refining existing means of linguistic and semantic description, in systemacy, rigor, scope and detail; objective methods such as componential analysis should be tested, and if found unsatisfactory, replaced by more appropriate ones [existing methods, or methods to be devised].

2.1 Formal, semantic and translation units

As translation mainly deals with meaning, ideally it ought to work with semantic rather than purely formal units. Moreover, as one is not always congruent with the other, one must be guarded against identifying them to each other. On the other hand, meaning is always expressed in linguistic form and the translator encounters it in texts. It seems as though, therefore, some compromise must be achieved in the

choice of a semantic unit between formal and semantic criteria, and that semantic description can hardly operate without some reference to form being made [directly or indirectly]. In the present state of semantic theory the concept of what a semantic unit is remains very vague indeed, and that explains why existing definitions are so ill-defined and also why there is so much variation in the linguists' choice of such a unit [there are the structuralists' morpheme, Vinay and Darbelnet's (1958) 'l'unité de pensée', Nida's (1975 a and b) 'distinctive features', Halliday's tone group,^[1] Leech's (1974) semantic components, clusters and predications, among others]. Some of these units seem to be either too elastic ['l'unité de pensée' and the 'tone group'] or too restricted [e.g. the morpheme] to be of any practical use for translation, and perhaps even for semantic theory [how is such a vague unit as 'l'unité de pensée' to undergo objective, systematic description?]. For the description of cognitive meaning in the context of translation, the only solution that seems available for the moment, is to recognise a malleable unit which implies no definition other than ad hoc, such as the field linguists' 'piece', and to resolve to a formally based semantic description at the word and sentence major levels, while emphasising that such description is that of the SL lexical or syntactic encoding of a given semantic 'piece' which may or not be matched by a parallel encoding in the RL. For

instance, no significant correspondence can really be established between 'luire' in French, and 'glow' in English, but a semantically significant parallel may be made between different syntactic forms in the two languages, namely verb plus noun plus adjective in French [e.g. avoir, refléter, une lueur rouge], and simple verb in English [glow].

However, concerning this particular example, it is interesting to note the influence of the historical dimension of linguistic usage. There is an historical tendency, both in French and English, to disassociate verbs into 'support verbs' plus nouns, the semantic content of the verb being carried by the noun, and its syntactic functions [tense and so on] by the 'empty' verb. Thus, 'avoir, refléter une lueur rouge' is paralleled by 'to have a reddish tinge', which is 'to be tinged with red'. The process being more developed in French than in English, at a given stylistic level, verb plus noun will be more likely than verb in French, than in English. Also, verb plus noun will be more formal in English than verb. But two more distinctions must be made: [i] to quantify this, one would need a full inventory of a language; and [ii] the contrast formal-informal is counterbalanced by the historical dimension: 'old' is equivalent to 'more formal', so that 'to be tinged with red' is now literary because a shade old. Such data form an important part of the translator's world.

Coming back to examples of equivalence between different syntactic forms, in translation sometimes a group of words may or must be rendered by a single lexical unit, or vice-versa; consider for instance 'sur-le-champ' ['immediately'], 'au fur et à mesure que' ['as'], or 'meet' [sometimes, 'faire la connaissance de (quelqu'un)'], 'befriend' ['se lier d'amitié avec'] and 'breakfast' ['petit déjeuner' (French use)]^[2]. The case of idioms and proverbs with figurative meaning, such as 'à bout portant' ['point blank'], 'l'échapper belle' ['to have a narrow escape'], 'avoir d'autres chats à fouetter' ['to have other fish to fry'], is more complex. Are we confronted here with different surface mappings of the same semantic 'piece' or with an equivalence established at some abstract level of meaning between distinct semantic 'pieces'? And do these phrases really constitute semantic units? These are theoretical questions for which, as far as I know, there is no precise answer in semantic theory as it stands at present. For the translator, the above examples need not be problematic for they are fixed phrases with ready equivalents, in French and English at least; the situation would be quite different when translating into other languages. However, in a number of cases, when the idioms are more unusual or their translation is not readily available, the translator may have to devote considerable time and effort, either finding the existing equivalent (if any) or creating one.

On a different stylistic level, larger units of meaning must be recognised. As mentioned earlier, in literary studies, whole books, texts, poems are major formal and semantic units of description, mainly in the sense that the meaning of the smaller units they contain may only be assessed in the background of these larger units. Description at this level takes place through stylistic and linguistic analyses combined, rather than through a matrix of features. A whole chapter [namely Chapter Four] is devoted to this topic [see also Chapter Five]. For the purpose of literary translation, these units are simply crucial. The translation of titles for instance requires adequate understanding of the book, film, article or poem they describe; the title 'Fatal in my Fashion' is hardly translatable, at least correctly [the pun on the word 'Fashion' is unnoticed], unless one knows that it is the title of a book about a crime committed at a fashion designer's [translated in French by 'Cousu de fil rouge']. Nevertheless, for the sake of theoretical rigor, having recognised the need for systemacy in semantic description, arbitrariness and categorisation must be introduced somewhere, and ultimately, the description of cognitive meaning has to operate within formal categories, mainly the [meaning of a] word and the sentence, although semantic content is not, in principle, bound to such units.

2.2 The description of referential or cognitive meaning; sense relations: synonymy and ambiguity

To avoid misunderstandings based on philosophical and semantic issues, it is useful to stress that the label 'referential meaning' is used by Nida in the sense of 'cognitive meaning', as the definition he gives of the phrase reveals [1975 a : 15]: 'The meanings of verbal symbols are not really entities or events in the practical world; rather, they are concepts consisting of bundles of distinctive features. Since this type of meaning is essentially conceptual, it may be referred to as 'cognitive', and since it is related to concepts about referents, it may also be called 'referential''. Description of referential meaning at the lexical level usually takes the form of a matrix of features. The basic principle underlying such description is that one particular meaning exists and is definable only by contrast with other related meanings. Nida's [1964, 1975 b] approach to componential analysis exhibits a certain dependency on the Generative Semanticist school. In particular, the basic methodology he describes is to a large extent inspired from the insights of Lounsbury and Goodenough (op. cit).

As regards translation, the point at stake here is that componential analysis could provide: (i) an objective basis for deciding whether two meanings or words in different languages are equivalent or not, that is to say, translation

equivalence should occur when two words or meanings exhibit similar semantic features; and at the same time [ii] criteria for assessing the accuracy and faithfulness of a translation: the closer the correspondence between the SL and RL words' semantic structure, the higher the degree of faithfulness or accuracy of a translation. It will be seen, however, that being on the whole too general, unidimensional and restricted, componential analysis, in fact, provides neither.

Nida [1975 b] divides his description of referential meaning into three broad categories [which will be subdivided later], namely, in his own terminology, [i] related meanings of different lexical units; [ii] different but related meanings of a single lexical unit; and [iii] a single referential meaning. Ullmann [op. cit] discusses similar sense relations under synonymy and ambiguity [polysemic and homonymic] in much more detail and further insight than Nida who is mainly concerned with discriminating between various basic types of relations for the principal purpose of the systematic description of meaning, rather than with a comprehensive analysis of these semantic notions, in their various aspects. Thus, although Ullmann's analysis does not offer any formal technique of description, given the high relevance of synonymy and ambiguity to translation and the ability he shows in his study, it is interesting and useful to examine it. It will in fact, indicate the importance of areas where componential analysis will be found lacking

[mainly talking about the notions of context and stylistic variation]. I will concentrate on the main points Ullmann makes which are most significant for semantic theory and translation in particular, but will not go into the detail of his discussions.

Synonymy

Although, as Ullmann notes [1967: 141], it has become almost axiomatic among linguists that complete synonymy does not exist, he stresses that one cannot so easily dismiss the possibility of exact synonymy. Interestingly, he points out that full synonymy is not infrequent in technical nomenclatures, owing to the fact that these words are precisely delimited and free from emotive overtones. Ullmann quotes a tabulation of nine possibilities of differences between synonyms by Professor W. E. Collinson, which he then summarises in three main points, namely [i] dialect and child-talk differences; [ii] objective differences; [iii] emotive or evocative differences. Nida gives a different, perhaps more precise tabulation, which is presented in the next section, when dealing with overlapping sets of meanings, together with examples relevant to translation. For the delimitation of synonyms Ullmann advocates as the best method, following Macauley, that of substitution. Nida uses the same method for the investigation of a meaning of a single lexical unit.

But one of the most interesting aspects of his discussion, in the context of this work, is his analysis of the synonymic patterns of English and French, which are similar, but must nevertheless be distinguished in certain respects. Synonymic patterns in English follow two main scales, one double, namely the 'Saxon' versus 'Latin' scale, and one triple, that is, the native, French and Latin or Greek. A few examples of the double scale are: 'bodily' versus 'corporal' and 'brotherly' versus 'fraternal'; examples of the triple scale are: 'begin', 'commence' and 'initiate'; and 'food', 'nourishment' and 'nutrition' [whereas in French one finds 'nourriture' ['nourrissant'] as an equivalent of 'food' and 'nourishment', and 'nutrition' as the equivalent of its homonym in English].

The French synonymic pattern is a two-scales system composed of the native scale, which includes 'some old-established loan-words', and of words borrowed from Latin or Greek as the other scale, whose terms are rather learned [mots savants] and have certain almost scientific, abstract connotations, which situate them in a different stylistic register than their native equivalents. Typical examples are [among others] [op. cit: 48]: 'frêle' [frail] and 'fragile' [fragile]; 'pourriture' [rot, decay] and 'putrefaction' [putrefaction]. It is interesting to note the consistency in the relation between word-origin and stylistic register.

One point clearly made through these examples is that the presence of foreign words in both English and French is in a large measure responsible for the pattern of synonymy which characterises these languages. Another interesting tendency, which is useful for the translator to note, [op. cit: 149] is that 'there are in each idiom and each period certain significant clusters of synonyms . . . Subjects in which a community is interested will attract synonyms from all directions'. Through observation of the multiplicity of synonyms for a certain social fact, thus, one can learn about the significance this fact had in the social organisation of another epoch, or has in the social organisation of a different [contemporary or not] cultural group.

Ambiguity

Ullmann distinguishes two basic types of lexical ambiguity or 'polyvalency', that is [i] polysemy and [ii] homonymy. He discusses their sources, inherent problems and stylistic potentialities in great detail [op. cit: 156-93].

Polysemy is the term used to describe the situation where the same word has two or several different meanings. An example is the word 'board', which may mean a thin plank, a tablet, a table, persons sitting at the council table, a blackboard and other things. Five main sources of polysemy can be recognised [ibid: 159-67], namely [i] shifts in

application, implying that words have different aspects according to the contexts in which they are used, some of these aspects being transitory, and others permanent [handsome is a typical example]; [ii] specialisation in a social milieu, which refers to words which have a general meaning, but have also acquired related but specialised ones which are applicable only in given milieux (Nida describes a similar sense relation under 'peripheral clustering'): 'paper' for instance, in addition to its reference to the material itself, may mean an examination, a document, a newspaper, a learned or specialised article, and also various other things when used in the plural; [iii] figurative language, implying that one word may be given one or several more figurative senses without losing its original meaning. Metaphor (examples are 'the bed of a river'; 'la couverture de la maison' [le toit]; 'le mur du son') and also metonymy (examples are: 'surgery' [the art and the place]; 'youth' [the state and the young persons themselves]; 'bar' [in French or English, referring both to the house where drinks are sold, and to the bar itself] can give rise to polysemy; [iv] homonyms reinterpreted, which refers to a kind of popular etymology, and which arises when two words identical in sound are closely related in sense so that one tends to see them as one word with two meanings (examples he gives include 'allure' [to attract and gait] and 'ear' [the organ and spike or head of corn, the spike being similar to the

organ]; and [v] foreign influence: a foreign language can influence another by changing the meaning of an existing word, as in the case of 'parlement' in French, which originally meant 'speaking' but changed its meaning into that of 'legislative assembly' [its only contemporary meaning] under the English influence of the word 'parliament'. Such foreign influence has been felt to an unusual extent in French-Canadian use, and these 'invisible exports' perhaps more than the more obvious Anglicisms can cause many a confusing problem to the [French-Canadian] translator and also perhaps to the French purists. But as Ullmann rightly points out [ibid : 166] it is difficult to see how these problems could be avoided 'under the changed circumstances of modern life', and I would add, under certain specific geographical, social and cultural circumstances [such as those prevailing in the bilingual Canada of today, and also in Kurdistan for instance].

As Ullman explains, polysemy is necessary for the efficiency of the linguistic system, particularly as far as economy of words and flexibility of language are concerned. Moreover, the linguistic system supplies a number of 'safeguards' against the ambiguity that could result from polysemy. Apart from the all-important context of use, Ullmann mentions gender [in certain languages only], inflexion, word-order [very much used in French, where the pre- or post-position of the same adjective entails a change

of meaning, e.g. 'jeune femme' (young in age) and 'femme jeune' (young in spirit)], adding another term to a word to clarify its meaning [e.g. fair-haired and fair-minded], and finally slight modifications in form [e.g. draft and draught, and dessin, dessein in French]. But despite these safeguards, true ambiguity does occur, and Ullmann distinguishes three main cases. There is in the first place, as mentioned earlier, semantic borrowing from foreign language, which may cause confusion and misunderstanding (a well-known example, in addition to the above-mentioned one, is the French verb 'réaliser', whose use in the sense of 'to understand' is an old Anglicism). Secondly, ambiguity arises, surprisingly, in scientific and technical usage (Semantics terminology is an obvious example; its problems have been discussed, and partly dealt with in Lyons 1977, particularly in Chapters One and Seven). Lastly, there is a tendency in ordinary language for the same word to develop two or more senses capable of arising in the same contexts; but fortunately there seems to exist a parallel natural tendency for one or more of the conflicting senses to disappear (Ullmann gives as examples 'admirable', 'careful', 'peevish' and 'vivacious', among others). Another related polysemic problem referred to, which seems almost identical to Leech's 'reflected meaning' [c.f. Chapter One] is the case where a word has developed such an unpleasant sense, or a sense with such strong emotive overtones, that it becomes almost impossible to use it in its

other meanings; he mentions 'obsequious', 'cunning', 'undertaker', and in present-day English, certain restrictions in the use of 'common', 'funny', and 'strange'; one might also add 'vicious' [in 'vicious circle']. Note the importance for the translator to be aware of these semantic details about words whose equivalents in his own language may have different, related or opposite overtones, instead of being perfectly straightforward.

Homonymy arises when two or more different words are identical in sound; they may or may not be spelt in the same way [e.g. 'chas' and 'chat' in French; 'mean' [middle], 'mean' [inferior], 'mean' [stingy] and 'mean' [the verb]]. Whereas polysemy was found to be an advantageous, useful characteristic of the linguistic system, only the contrary can be said of homonymy, except for its stylistic uses, that is, in puns and rhymes, [in which respect it can be particularly useful to the translator of poetry]. In languages such as French and English where homonymy is quite proliferate, it can be considered as a serious problem. However, in general, the fact is that it rarely causes misunderstandings in ordinary speech, owing mainly to certain safeguards, as in the case of polysemy, which are in fact quite similar to those mentioned above.

On the whole, Ullmann's analysis must be praised for its thoroughness and the delicacy of its observations.

For the translator, the most theoretically interesting aspects are the polysemic type of ambiguity and the stylistic and social aspects of synonymic patterns in French and English. But as far as its usefulness in practical terms is concerned, as true cases of synonymy and ambiguity rarely arise, owing to certain efficient safeguards, and as it lacks the kind of systemacy aimed for, it is limited to pointing out, and explaining, to some extent, problematic areas.

2.3 Related meanings of different lexical units

Nida makes the following distinctions concerning the ways in which meanings of different lexical units may be related to one another. There are four types of such relations: [i] inclusion (as in the set: mammal, cat, tiger) which is discussed in Lyons (op. cit: 291-301) under the term 'hyponymy'; [ii] contiguity (as in the set: hop, skip, stroll, walk, stride) which may also be described as a case of synonymy or in terms of non-binary contrasts (Lyons, op. cit: 287); [iii] overlapping (as in the set: beautiful, pretty, handsome, attractive), a relation which is usually referred to as synonymy; and [iv] complementation, either in a) opposite sets (such as: good/bad; beautiful/ugly), b) converse sets (such as: buy/sell; lend/borrow) or c) reverse sets (such as: tie/untie; do/undo). In Lyons the latter relation [iv] is described in terms of antonymy, converseness and complementarity; he also distinguishes one



more type of contrast, namely directional opposition (as in: up/down; arrive/depart), which he further subdivides into [i] orthogonal opposition (i.e. perpendicularly; 'east' is opposed in this way to 'south' and 'north', and 'north' to 'east' and 'west'); and [ii] antipodal opposition (i.e. diametrically; 'north' is opposed in this way to 'south' and 'east' to 'west'; and so is 'above' to 'below', 'left' to 'right' and 'behind' to 'in front of').

In included sets, the including meaning is distinguished from the meanings it includes by the fact that the included meanings have at least one more diagnostic component than the including meaning. Semantic inclusion is best represented hierarchically. Taking as an example the set^[3]: mammal, cat, leopard (or panther), cougar (or puma), lion, lynx, and jaguar, let us see how componential analysis works, and how it can help the translator. A diagram is also added as it represents more clearly diagnostic components.

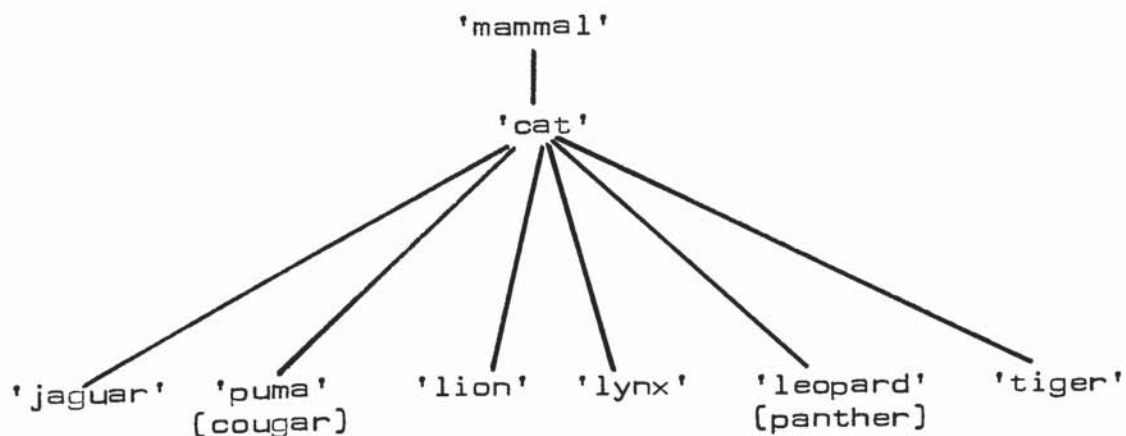


Figure 2.1 Inclusion

distinctive components	'tiger'	'leopard'	'lynx'	'lion'	'puma'	'jaguar'
1. description of fur	striped	spotted	often maroon (may vary)	maroon	reddish brown	black
2. habitat	jungle Asia	jungle S.Africa & Asia	mountains	Africa	America	South America
3. diagnostic component	-	-	1 tufted ears 2 high at haunches 3 sharp-sighted	crown if male	-	-

Diagram 2.1 Analysis of an included set

In the context of translation, such description accounts for certain cases of modulation, when for instance given an RL lexical lacuna for an SL term, a translation solution is to use a lexical unit belonging to the immediately superior hierarchical level of an included set. Supposing an RL culture where various breeds of dogs are not lexically differentiated from one another, the English word 'oodle' would have to be translated by the word for the generic 'dog' in the RL. Conversely, cases may arise when it will be necessary to use in the RL text a more specific term than was used in the SL text, owing to the absence of the appropriate generic RL term. Consider the example of 'luire' in French, which hardly covers the same semantic field as 'shine'; the situation and the context should determine the choice to make:

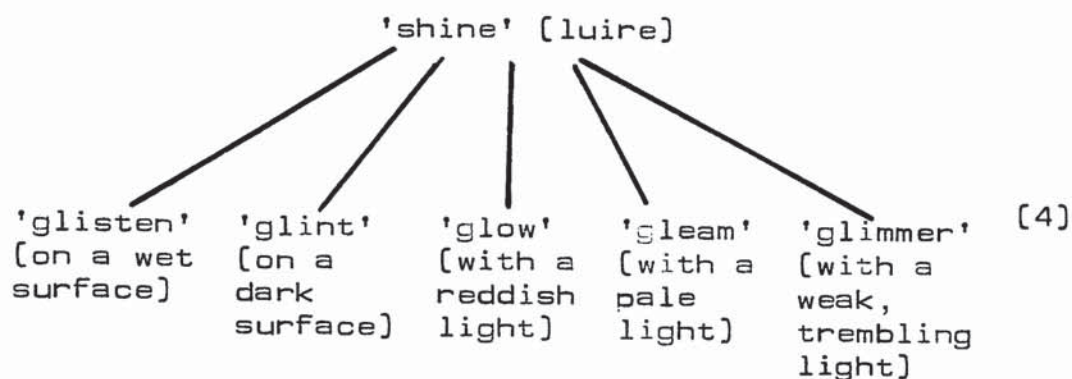


Figure 2.2 'shine'/'luire'

The above-mentioned modulations would entail either gain or loss of meaning in the RL.

The description of meaning overlap, in its close relation to synonymy, raises very interesting questions for translation theory. Note that, as Nida rightly emphasises, it is one specific meaning of the terms rather than the terms themselves that overlap. As mentioned earlier, full synonymy is a rare phenomenon. Failure to appreciate this fact has caused many a mistranslation, and particularly so between languages which are close culturally and geographically, such as French and English, because one tends to assume that certain overall similarities also exist in the detail, which often is not the case. The fact is that such closely related languages usually possess formally similar, or almost identical, lexical units (and also some similar grammatical structures) which have the same origin but have developed different meanings through having been used in different historical and socio-cultural environments. Vinay and Darbelnet [1958] have devoted much research on the

subject, which they discuss under 'faux-amis' mainly, and consider these words as one of the most dangerous traps for the translator^[5]. On the other hand, Nida [1975 a b] and Steiner [1975: 361] have both pointed out [and Steiner more decidedly so] that the closer the cultures of the languages involved, the more difficult the translation. Here are examples of description of [interlingual] meaning overlap for each category of the latter type distinguished by Nida.

[i] overlapping involving affective components: 'maternal' and 'maternel' [French is affective whereas English is not].

[ii] overlapping due to diagnostic components

[a] overlapping involving highly specific contexts: these are cases where two lexical items have identical diagnostic components for a certain specific context, but differ significantly in other contexts.

example:	<u>Contexts</u>	<u>English</u>	<u>French</u>
		'correct'	'correct'
1)	grammatical or social correctness	yes	yes
2)	accuracy	yes	no ['exact']

Diagram 2.2 'Correct'

The word 'correct' in French and English has a diagnostic component of 'conformity to a norm'; where that norm is truth, the words' use differs.

[b] overlapping involving different potentialities rather than a specific contrast.

example:

		<u>English</u>	<u>French</u>
		'journal'	'journal'
[1]	sense of periodical	yes	yes
[2]	sense of specialised periodical	yes	yes/no ['revue savante/ spécialisée']
<u>Diagram 2.3</u>		<u>'Journal'</u>	

A diachronic dimension needs to be considered here; 'Journal des Savants' and 'Journal des Débats' are specialised but out-dated.

[c] overlapping involving degrees [usually intensities]:

[1] in size: 'boat' - 'ship' : 'bateau'

[2] in intensity: 'love' - 'like' : 'aimer'
'warm' - 'hot' : 'chaud'

But these examples are not so straightforward; at one time 'ship' was a matter not of size but, of rigging; and for the 'sea-going' sub-culture it is the marked member of a pair [note also that in the context of war only 'ship' is used]. In the pair 'like - love', the intensity marking is collocation-dependent: [i] 'I like my daughter', is marked, whereas [ii] 'I love my daughter', is not. But in [iii] I

love cognac' and [iv] 'I like cognac', it is [iii] that is marked.

Considering the overlapping meanings of 'chaud', 'chaleureux' and 'hot' and 'warm' [which is a restricted set] in their meaning of 'having a relatively high temperature', they could be thus described:

	'chaud'	'chaleureux'	'warm'	'hot'
1. Degree of heat (in ascending order)	1 & 2	-	1	2
2. of things	imparting or retaining heat	no	imparting or retaining heat	imparting heat
3. of persons	passionate	only use; affectionate, sympathetic	sympathetic & affectionate; lively & passionate	passionate; violent
4. supplementary component	dangerous or pleasant	comforting, pleasant	comforting, pleasant	dangerous or exciting

Diagram 2.4 Analysis of an overlapping set

The significant distinctive features are, for things, [1] degree of heat, and [2] imparting and/or retaining heat; and for persons, [3] passionate and/or affectionate disposition. As far as [1] is concerned, when qualifying things, 'chaud' translates both 'hot' and 'warm'; when [2] is involved, 'chaud' is synonymous with 'warm', but could only translate

'hot' if only imparting heat was involved. One cannot speak of a 'hot coat/blanket' for instance. When qualifying persons, the meaning of 'hot' is nearer to that of 'chaud' than the meaning of 'warm'; 'warm' applied to persons would be equivalent to 'chaleureux(se)' in French, although the latter does not have exactly the same connotations that 'warm' possesses. 'Une personne chaleureuse' is not necessarily 'passionate' or 'lively'. As for 'une personne chaude' as compared to 'a warm person', the French refers to temperament while the English also emphasises moral, human qualities [also found in 'chaleureux'].

Another type of semantic overlapping must also be distinguished, where lexical units have the same distinctive features but differ as far as focus and emphasis are concerned. For instance, one can say that in 'each man came' and 'every man came', 'each' and 'every' share the components of definiteness and plurality. But 'each' has in addition to these a component of 'distribution', whilst 'every' emphasises the totality. In philosophical terms, the two sentences correspond to the same truth-value and propositional content, but have their focus on different aspects of reality.

As regards the complementation relation between different lexical units, it is mainly converse sets which need concern us in the context of translation theory. These are very few in number; they involve somewhat complex sets of

complementary components and are often characterised by a complete change in the role of participants, or more precisely, by a change of point of view by the speaker in his description of the event taking place. 'Buy'/'sell' and 'lend'/'borrow' are good examples. Another characteristic is that the converse meaning of a set which is not used is always implied by the use of the other term of the set. In translation recourse to this semantic relationship between different words is a type of modulation [Vinay and Darbelnet, 1958], which is often used to overcome a lexical gap or some difficulty of a syntactic order.

2.4 Different but related meanings of the same lexical unit

As mentioned earlier this type of sense relations is mainly relevant to translation in that it raises problems of ambiguity; the latter, as well as 'safeguards' against ambiguity are dealt with in much more detail in Ullmann than in Nida [see Section 2.2 above]. Nevertheless, an examination of Nida's analysis will help to reveal how componential analysis is apt to describe ambiguity, and the extent of the usefulness of such description in translation. Nida distinguishes four types of relations between related meanings of a single lexical unit, namely [i] derivation; [ii] figurative extension; [iii] replacement; and [iv] peripheral clustering. The latter type is the one which most involves ambiguity, and it is the only one to be

examined here. As its name indicates, it consists usually of a central meaning around which several peripheral meanings cluster, or simply of a group of interrelated peripheral meanings which share certain semantic components and whose diagnostic components exhibit certain links. The word 'play' for instance has a series of peripherally clustered meanings, as shown in the following contexts (only some of the meanings of the verb, except for the central meaning in [i], are considered).

[i] I saw a good play at the London Theatre.

[ii] She plays the guitar well.

[iii] He played Hamlet beautifully.

[iv] Children love to play.

[v] He played my favourite record.

The central meaning is [i] (O.E.D. gives noun 1440, verb 1470; but 'jeu' and 'jouer' are both 1080(L. n & v); [ii], [iii], [iv] and [v] are semantic derivatives from [i], involving a switch from the semantic domain of entities to that of actions. Meanings [ii], [iii], [iv] and [v] share the common semantic components of a) engagement in some activity and b) the main purpose of which being entertainment. Meanings [ii], [iii] and [v] differ from [iv] in that the type of activity involved implies some kind of performance

[on a musical instrument in [ii]; to act, or perform an act in [iii]; and to cause to perform or give forth music in [v]]. Again, [ii] and [iii] differ from [v] in that it depends on the performer that the performance be successful or not. None of these sentences involves ambiguity, mainly because their context is specific enough for the meaning of 'play' to be clear. Ambiguity arises, however, if one makes the context less specific; consider [vi] She plays well, or [vii] He played with them. [vi] could be translated in French by 'Elle joue bien', or 'C'est une bonne comédienne/actrice', and there are other possibilities. In [vii], one does not know whether 'he' played chess, football, hockey, violin or cards, or whether one is talking about 'his' performance in a play, or film, or television programme or series. But of course, such indeterminacy is very superficial indeed, in translation at least, because one does not have to translate individual de-contextualised sentences. And as Ullmann has pointed out, context is the major safeguard against ambiguity. However, it has been mentioned above that genuine ambiguity does occur, in very special circumstances [see Section 2.2 above], i.e. [i] from borrowing from a foreign language, [ii] in scientific and technical usage and, [iii] in ordinary language. However, if one examines these cases, particularly [i] and [ii] which are the ones which need most concern the translator, considering examples given above, namely 'réaliser' [in its

dual meaning of 'to carry out' [correct] and 'to understand [Anglicism]] and semantic terminology, it soon becomes obvious that componential analysis can be of very little use to the translator here; only the individual translator's general or specific [perhaps linguistic] knowledge, or metalinguistic knowledge will enable him to sort out the ambiguity. In effect, what can help the translator to decide whether the word 'sens' in a French text means 'sense', 'meaning', 'reference' or 'denotation' if not his familiarity with semantic literature and terminology. In fact, it looks as though most cases of genuine ambiguity will force the translator to resort to his personal background of knowledge [this is, perhaps, why, in French-Canadian universities, lecturers so enthusiastically exhort students to keep themselves informed of the current events of the world, and to read a lot, in general]. For instance, to translate 'Port Darwin, Allied Naval base, target' taken from an American newspaper, by 'L'Aviation japonaise bombarde la base navale russe de Port Darwin', the translator had to know that 'Port Darwin' was a Russian base [at the time of publication]. This already indicates the inherent limitations of the usefulness of componential analysis for translation; and more will be mentioned later on. We are touching here the delicate topic of the individual translator's knowledge of the world, something which no system can describe but partially. Theories of translation

must therefore account for the translator himself; it will be required of him not only that he be constantly aware of the entire cultures of the languages he is working with, but also that he possesses adequate knowledge and understanding of the latter. It is these aspects of translation which raise the discipline among the most enriching and intellectually rewarding activities.

2.5 A single referential meaning

The determination of meaning is based upon two basic types of structural relations; one is represented by substitution and paraphrase, and the other by co-occurrence and opposition. Both types are equally important in the description of semantic components. The importance of the first type has already been made clear; as for the second type, its significance will be more fully illustrated in the present area of discussion. For translation, the relevance of what follows will be related to a) a different approach to the investigation of meaning and the further insights it provides for semantic study; and b) the examination of methods to investigate the meaning of a lexical unit in one's mother tongue and their usefulness to the translator.

Meaning clues which distinguish individual meanings are often promptly revealed by the words with which a given lexical unit does, or may not, occur. 'Good' for instance [often chosen in example in similar semantic discussion

because of its many related but distinct meanings in various contexts] implies different types of 'positive quality' in 'good cake' [tasty, well-risen, properly textured, aromed , coloured], 'good joke' [funny, appropriate], 'good baby' [well-behaved [usually]], 'good man/woman' [ethical, kind], 'good legs' [attractive, or strong, or long and thin, if talking of a horse]. Conversely, its occurrence with 'disaster', 'misery', 'trouble' etc... is generally anomalous. The above contexts delimit which types of 'positive quality' 'good' may express; as regards 'disaster', 'good' can hardly qualify the term, unless it is meant that some indirect benefit may be derived from the disaster; but even then it still remains a pretty unusual collocation as 'good' and 'disaster' definitely have contradictory diagnostic components.

Nida rightly points out that methods of analysing the meaning of a lexical unit in one's mother tongue and in a foreign tongue should normally [for the linguist] be different. But this is not the case for the translator at the level I am considering, who should have native speaker sensitivity of the language, or languages, he is working with, apart from his mother tongue. Thus, the methods he advocates for the investigation of meaning in a foreign tongue need not concern me here. Nida proposes two methods for the description of one referential meaning in one's mother tongue. The only difference in the present type of description with what

precedes is that the emphasis is on one particular meaning and its definition rather than on differentiation of a set of meanings from one another. Theoretically speaking, this area of semantic investigation is more closely related to dictionary-making than to translation, and it will thus be dealt with only briefly. The main reasons to examine it at all are that the cooccurrence procedure of analysis provides further insights in the nature of semantic relations and thus throws light on some problems of translation, but more specifically, that, as no one is a master of all sub-cultures in one, let alone two, languages, it offers a model for our exploration of L_1 .

The first procedure to deal with one meaning in one's mother tongue is the 'horizontal-vertical, or hierarchical' one. However, as it is in many respects similar to the procedure for the description of included sets dealt with above, I pass immediately to the second procedure Nida proposes, the 'overlapping areas' procedure. The description proceeds along four principal steps. Firstly, taking as an example the word 'small' [in the sense of 'having reduced proportions'], the analyst must replace 'small' in its semantic family, which includes, among other units, 'little' and 'tiny'. Secondly, one determines the range of objects, persons, actions, events, which can be qualified by the meanings. The three terms can qualify animate objects (e.g. small/little/tiny, boy, woman, cat, insect), and inanimate

countable objects [e.g. little/small/tiny, book, place]; but as regards uncountables, if the semantic component 'having reduced proportions' has to do with quantities, there are limitations, such that, in some cases, only 'little' is suitable; for example: '*small/little/*tiny, time left, thought was given to this', etc. . . , and thus for 'care', 'attention', 'affection', 'love', etc. . . . On the other hand, 'small cause for concern/worry' is in use, and so is '[I hadn't] the smallest suspicion'.

There are also physical limits to the degree of smallness of certain things, which account for a number of incompatibilities; for instance, 'a small/little/*tiny, party', because 'a tiny party' would be no party at all; or 'a tiny rock' would be a very small 'stone', or a 'pebble'. More contexts are needed to go through the third step, which consists in stating contrasts between the related meanings. Consider the following ones:

[i] The dress is too small/little/tiny, for me.

[ii] A small/little/tiny, gin please.

[iii] She had small/little/tiny, hands.

In these contexts it is not a matter of absolute size which defines the contrasts, but rather of marking. On the whole, a number of definite contrasts have been clearly exhibited: [a] 'little' may apply to size, distance ['a

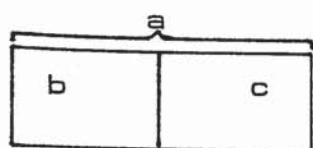
little trip, journey'], time or quantities [concrete or abstract]; [b] 'small' implies reduced proportions almost only in size, time and distance [with a few exceptions as regards quantities], and is more formal than 'little' and 'tiny'; [c] 'tiny' implies smaller proportions than the other two, hardly applies to events [unless to mark them heavily 'a tiny journey/excursion'] and has a supplementary affective component; [d] 'small' and 'tiny' may apply to countable objects, whereas 'little' applies to countables as well as uncountables. The last step finally consists in the listing of the diagnostic components of the meaning at the focus of the analysis, which can only be done properly with reference to those of the other meanings.

It must be emphasised that the choice of 'semantic components' in a description of the above type is often naïve, while dictionaries are usually subtler, and that, more crucially for the translator, it ignores the dimensions of social, diachronic or period variation, let alone the whole range of dialectal and geographical variation.

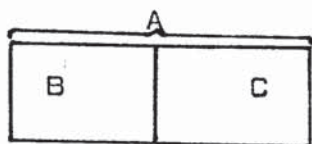
2.6 Conclusions

On the whole, the type of semantic description outlined in this chapter [Ullmann's analysis, and Nida's approach to componential analysis mainly] is interesting and useful in semantic and particularly translation, theory mainly in that it points out problems [but Ullmann also

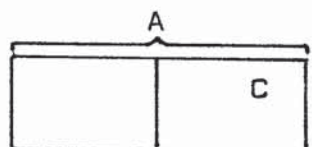
explains them to some extent], labels, categorises and systematises them, thus helping linguists to detect, and develop a clearer picture of, problematic areas and of the nature of some semantic problems; Ullmann is particularly successful in doing so. In the field of translation theory especially, it complements investigations like those of Vinay and Darbelnet [1958] in that it emphasises the semantic rather than the structural aspects of differences between languages. In general, what can be inferred both from Ullmann's and Nida's analysis concerning differences between various languages' semantic structure and the various ways in which different languages organise it into linguistic, lexical in particular, structure, may be schematically represented by the following diagrams borrowed from Givón [1978: 236-237]. Givón classifies lexical differences between natural languages in two main groups: (i) accidental gaps, which usually involve the membership of large lexical classes such as nouns, verbs, adjectives or adverbs; and (ii) systematic vocabulary gaps, which he further divides into three sub-categories: a) where there are interlinguistic differences in the degree of expressive specification, as illustrated below:



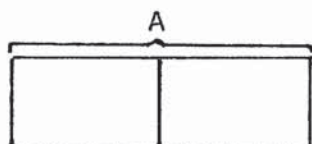
semantic contents (universal)



lexical mapping in L_1 ;
containing one generic and two
specific terms



lexical mapping in L_2 ;
containing one generic and one
specific term

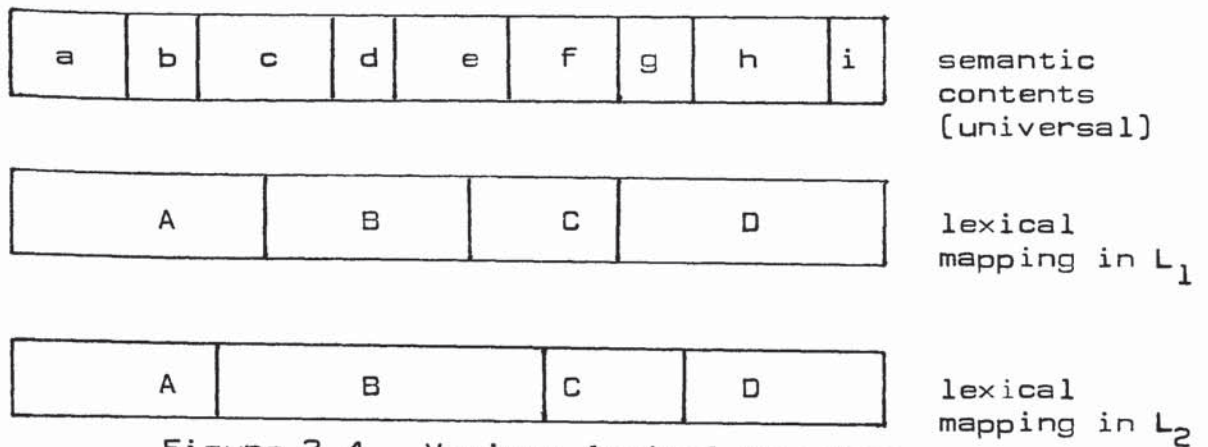


lexical mapping in L_3 ;
containing only a generic

Figure 2.3 Lexical expressive specificity

With respect to the semantic sub-universe 'a', having a generic and two subcategories 'b' and 'c', L_1 is the most specified in its lexical mapping, whereas compared to L_1 , both L_2 and L_3 lack in expressive specificity^[6].

b) where the same propositional contents or semantic structure is mapped differently into words, as in:



In this case, both L_1 and L_2 have adequate lexical means of expressing the same propositional contents but, in Givón's words [op. cit: 236] 'they merely slice the same pie in different ways'. Examples of a kind of synonymy, or semantic overlapping given above belong here ['chaud', 'chaleureux' versus 'warm', 'hot']. Consider for instance the meanings of the following French and English sets, and their similarities and differences: 'belle', 'jolie', 'charmante'; 'beautiful', 'handsome', 'pretty', 'attractive', 'good-looking', described below [see also a little further on].

Distinctive features	'belle'	'jolie'	'charmante'	'beautiful'	'handsome'	'pretty'	'attractive'	'good-looking'
1. Degree of beauty [ascending order]	2	1(or 2)	1 (or less)	2	1 or 2	1	1	1
2. (may be said of) women/girls	yes	women: beautiful girls: pretty	yes	yes	mainly women	yes	yes	women: beautiful girls: pretty
3. good figure [implied]	varies [more often yes]	usually, though not necessarily	no	varies	varies	varies	varies	usually, but not necessarily
4. supplementary component	striking	girl: often small features	unstriking but lovable	striking	strong features	unstriking	charming, interesting	emphasis on general appearance

Diagram 2.5 Another overlapping set

c) cases where a language cannot map a certain portion of the universal semantic base onto surface expression owing to some peculiarity of its lexical-syntactic organisation. According to Givón, these cases are rarer than the preceding ones and furthermore they involve areas of semantic structure which are less central to the main tasks of human communication and do not pose great translation problems. He concludes [op. cit: 271-72]:

'The most burdensome task for the translator . . . does not arise from the theoretically more interesting types a) and c). Rather, it arises from the more innocuous type b), with its potentially enormous complexity of constraints, involving syntactic structure, verb classification, case marking, noun gender and agreement and other factors . . . Since the constraints involved often transcend the simple sentence's boundary, the translator must eventually resolve to translate discourse equivalents rather than lexical or even sentential structures'.

Givón's conclusions hint at further limitations than have been mentioned earlier to the usefulness of the systematic description of cognitive meaning (not only of words but of sentences) for translation. But there are even more, on a social and stylistic level, and they can best be understood by re-examining the framework of semantic description outlined above (Nida's in particular) in the light of so-called literary translation, which is, ultimately, the context within which it really ought to be assessed, as far as the present research is concerned at least.

The extent to which the concept of 'style' is more closely linked to so-called 'literature' than to other types of texts is a theoretical question of importance, but which remains more or less unsettled at present as noted earlier. Answering this controversial question might very well prove to be closely related to the notion of semantic motivation of various formal and semantic choices in a text. To my mind, there is some evidence that the Hallidayan notion that style exists everywhere in language, only differently in various types of texts (which are accounted for in functional terms in Hallidayan theory), is the most accurate (i.e. true to facts of linguistic use) and useful; I find it to be so in the context of translation at least (see Chapter Five, Section 5.3 in particular, and the Introduction).

The basic principle which underlies all stylistic studies is that there exists a variety of potential alternative ways of saying approximately the same thing (in every language); an adjacent principle inherent to the study of style is that the way in which one formulates a message tells something about one's background, one's view of the world, thoughts, beliefs, etc. . . . Stylistic choice is thus directly related to the social and cultural aspects of meaning, to social hierarchical levels, language registers and dialects as well as idiolects (see Chapter One and Chapter Five, Sections 5.1 and 5.2 in particular). Through re-examining some of the examples used above to describe the

method of componential analysis from a stylistic point of view, I hope to show that [the framework of] this kind of semantic description, on the whole, offers no account of the social and stylistic aspects of meaning, and that this constitutes a most serious shortcoming as far as its usefulness to translation, theory and practice, is concerned. Ullmann's analysis does but point to the importance of these essential semantic aspects, while failing to provide the comprehensive account of variation that is needed.

Consider again the interlingual overlapping set 'belle', 'jolie', 'charmante'/'beautiful', 'handsome', 'pretty', 'attractive', 'good-looking'. The analysis given earlier is unidimensional. On a different axis, there are also stylistic (and particularly register) differences between the meanings of the items. 'Pretty' is familiar, more so than 'jolie'; at the opposite extreme one finds 'fair', somewhat archaic but literary, which could mean in French either 'jolie' or 'belle', but both words are non-literary. On the social axis on the other hand, considering 'attractive', it seems to be a woman's assessment rather than a man's, and moreover, men and women do not mean the same thing by it. 'Charmante' on the other hand, would be an older person's assessment.

Turning now to the included set 'cat', 'tiger', 'leopard', 'lion', 'puma', 'jaguar', 'cougar', 'lynx', the

distinctions made were rather stereotypic in nature, and do not account for certain stylistic and social connotations that these words possess. Why for instance, have there been cars called 'jaguar', 'lion', 'tiger', but not 'lynx' or 'leopard'? 'Cougar' exists, however [it is the name of an American car], but might seem very odd to an Englishman. Besides, why have kings either displayed or been, 'lions' and 'leopards', 'tigers' been associated with enemies only, while lynxes, cougars and pumas seem to have never been used in such associations, which would even seem unthinkable in French and English? And to what extent do these comments apply to other foreign cultures such as African tribes, South-American or other? As far as the association of kings with leopards and lions is concerned, there is an historical and cultural [national] dimension involved: medieval heraldry made no distinction between lions and leopards. But kings of England, technically, bear three 'leopards' because they are 'passant', kings of Scotland, a 'lion', because 'rampant'; whereas the three 'leopards' are in fact equivalent to the single 'lion' of Aquitaine, and the two 'lions' of Normandy.

Consider now the set 'little', 'small' and 'tiny'. The above description overlooks the stylistic dimension again. A 'little boy' is smaller than 'a small boy' and what is more, the difference has affective overtones, namely, one cannot hold anything against 'little boys', whereas, in

general, 'small boys' often is pejorative. As for 'little cause for worry', 'small cause for worry/concern', they mean approximately the same thing; the second is very formal, however, and could be used to put down an opponent in an argument for instance, but never as a reassuring phrase like the former. Concerning 'correct' (in French and English), the matrix of features does not account for the fact, social in nature, that while a Frenchman may require of a policeman who used 'tu' when addressing him, that he be 'correct', an Englishman would not understand 'correct' in this situation.

Finally thus, although taxonomies are essential to the progress of linguistics, the field is extremely complex and multidimensional^[7]. For example, although 'cat' = 'chat', it is also true that 'tiger' = 'cat' \neq 'chat', and the sentence 'The cat is on the sofa', even though endocentric, is not so easy to translate: does 'cat' = 'chat' or 'tigre' (as people have had tigers for pets), and 'sofa' = 'le divan', 'le sofa' or 'le chesterfield'? Moreover, are the latter mere stylistic variants, and more crucially, what rule is to determine the translator's choice? This is the cornerstone: the type of semantic description examined here pinpoints some semantic and translation problems but overlooks (or does not sufficiently account for, as far as Ullmann's analysis is concerned) crucial ones, while offering no real solution to the problems it raises. It is description at the level of the types of meaning discussed under 'parole'

in Chapter One that seems to offer most hopes for some solutions to these problems, which may best be carried out within the scope of a linguistic and stylistic analysis combined, as described in Chapters Four and Five. In literary [and perhaps in all] translation, it is the stylistic analysis and the translator's knowledge of the social and cultural rules of the languages he is working with that offer the highest prospects of usefulness and relevance, both on a theoretical and practical level.

The very nature of cognition is at stake here; it has a social dimension which must be reckoned with, some aspects of which have been described by Putnam [1978 : 61-81]. See also Tymoczko and Wheeler, whose views are dealt with in Chapter Five [Sections 5.1 and 5.2 mainly]. The type of referential meanings described in this chapter are 'social constructs', 'stereotypes' which constitute at best, only partial descriptions or accounts of 'the real thing'. As Putnam (op. cit) has pointed out there exists a social dimension of cognitive meaning which has been widely overlooked by philosophers and linguists, namely that words are associated with conventional ideas or 'stereotypes', which may be inaccurate (i.e. untrue to the real world, or real nature of things). For instance, 'gold' is described as being yellow, although in reality pure gold is nearly white [the presence of copper accounts for the yellow colour].

This suggests that the element of 'truth' in the 'concept' theory is only present to a relative, varying, degree. The fact is that most of the gold the majority of people will ever come across 'is' yellow, and that it is only a smaller number of people who know the real colour of gold. This 'social' fact about the nature of cognitive meaning Putnam, who is probably the first to have defined and enunciated the principle clearly, calls 'the division of linguistic labour'. The features that are generally thought to be present in connection with a name - H_2O for water, for example - are all present in the linguistic community considered as a collective body, but the latter is divided between the 'labour' who knows the features of the meaning of water, and the 'labour' who employs the word without knowing these features. In this way, the most recherché fact about water may become a part of the social meaning of the term, although unknown to almost all speakers who acquire the words. This implies that it is only the sociolinguistic state of the collective linguistic body to which the speaker belongs which does fix the extension of a word. As Putnam puts it, there are two kinds of tools, those that can be used by one person, like a hammer, and those which require the cooperative activity of a number of persons to use.

Therefore, an adequate theory of meaning and translation must include social considerations, and in a good number of cases it is the 'social rules' [i.e. social

conditions to which linguistic use is submitted], which will govern the translator's decision when confronted with a specific problem, and which will also constitute the main basis of assessment of a translation. Putnam [op. cit: 76] gives the example of a tribe who has the words 'whaba' and 'waarabi' for 'elm' trees and 'beech' trees, and makes it obligatory to know the difference: 'Then the translation of 'whaba' as 'elm' and 'waarabi' as 'beech' would, in our view, be only approximately correct'. Note that this has nothing to do with Quine's thesis of indeterminacy. Mistaken theories of meaning originate from failure to take the 'social' into consideration, as Putnam stresses [op. cit: 81]:

' . . . the grotesquely mistaken views of language which are and always have been current reflect two specific and very central philosophical tendencies; the tendency to treat cognition as a purely individual matter, and the tendency to ignore the world insofar as it consists of more than the individual's observations. Ignoring the division of linguistic labour is ignoring the social dimension of cognition; ignoring what we have called the indexicality of most words is ignoring the contribution of the environment. Traditional philosophy of language, like much traditional philosophy, leaves out other people and the world; a better philosophy and a better science of language must encompass both'.

My conclusion must be that, ultimately, translation, theory and practice, must be the outcome of a contrastive sociolinguistics and must have a functional orientation. The limitations of the componential type of semantic description for translation largely originate from a misconception about the nature of language, which may certainly not be attributed to Nida, who has clearly emphasised, in other works [1975 a and 1976: 47-92] the significance of the social and cultural aspects of meaning, but is inherent to the system of componential analysis, namely that in translation we are faced with A and B, i.e. two languages, whereas in reality we are confronted with a multidimensional axis within each language [see Chapter Five, Section 5.1, Figures 5.1 and 5.2]. Such a view of language will be able to explain why there are, within a given culture at a given period [synchronic plan] variations in linguistic use in a number of sub-cultures [geographical or social (related to socio-economic classes) dialects, idiolects, and registers] and also, at different historical periods [diachronic plan], different fashions of linguistic use, in the spoken and written mediums, at the social [literary modes of the 18th and 19th centuries for instance] and geographical level [different dialectal uses at different periods; also, the style of a particular author of a given period might be tinged with dialectal use of his country of origin]. It is this multidimensional aspect of language which makes

the task of elaborating a comprehensive theory of translation, the objective description of meaning, and the practice of translation, so complex. But once the complexity is recognised where it belongs, one already has the commencement of the theory one is aiming at.

Chapter Three Grammatical meaning, or cognitive meaning
of sentences; the description of cognitive
meaning at the syntactic level: T. G. G.
and Systemics

At the sentence level cognitive meaning is entwined in a structured set of syntactic relationships which involve all discourse levels, from the morpheme to the clause and sentence. In the simple sentence 'I was listening', for instance, 'I' is the subject, first noun phrase (NP) or actor, and 'was listening' is the verbal group or phrase (depending on which model of grammatical description one is using); 'be' plus 'ing' indicate that the action is of an 'ongoing' type, which aspect of the sentence might find as its French realisation 'être en train de' for instance, and the form 'was' of the predicate reveals that the action took place in the past. Description of the grammatical meaning of a sentence may thus take place through an analysis of its syntactic structure. There exists a number of different schools of linguistic description, but I am concerned here with two of the most outstanding ones, namely T. G. G. and Systemics. However, there is also another, different approach to the study of the cognitive meaning of sentences prevailing among philosophers, and which investigates such meaning in terms of the propositional content of sentences mainly. Recent theories of propositional logic have thrown some light on the theory of translation and are examined

briefly in the last section of the chapter. The principal emphasis of the chapter however, is on the description of grammatical meaning.

T. G. G. and Systemics' theoretical frameworks and their respective models of grammatical description are studied comparatively so that on the [main] basis of their respective ways of dealing with cognitive meaning, their relevance to the theory and practice of translation may be assessed. In the first place, it is useful, I think, to give an outline of the basic theoretical orientation, ideas and standpoints which characterise each linguistic theory, so that the potential relevance [i.e. in theory] of each model to translation, and their limitations, may become clear before practical examples are introduced. The practice will constitute a test for the conclusions, or observations, made in theory; in this way the theoretical and practical contribution of the models will be compared, which will ultimately constitute an overall assessment of the models as regards translation.

The two models under study represent totally different approaches to the study of language. T. G. G., whose basic theoretical framework we owe to Chomsky [1957, 1965, 1971 mainly], in its concern for the human brain's contribution to language ability and performance, may be said to be psycholinguistic in orientation, and to exhibit

theoretical links with the mentalistic or rationalist philosophical school of thought. T. G. G. has also inspired many linguists in their investigations, such as Katz [1972, 1978, e.g.] and Katz and Fodor [1963], McCawley [1968, 1971], Bierwisch [1970, 1971] among a number of others. Systemics' orientation on the other hand, is sociolinguistic; the neo-Firthian model is focussed on the social aspects of language, on what uses language serves for us in our everyday interactions with other people. The school was founded by Firth, and later on his students, comprising notably, among others, M. A. K. Halliday and J. Ellis, elaborated and developed the theory. The main theoretical framework, however, we owe to M. A. K. Halliday [1973, 1975, 1978 mainly] [see also J. Mc. H. Sinclair, 1972, for the grammatical model]. The approach is related to some extent to the empiricist and marxist^[1] school of philosophy, diametrically opposed to the mentalistic school. But let me emphasise here that the point at stake in my investigations is not a matter of right or wrong, but rather of focus, insofar as translation is concerned; in other words, the real question is: which model offers the most reliable and satisfactory account of the aspects of language and meaning which are central in literary translation, and is the most apt to help the translator deal with real problems of translation as encountered in literary texts mainly.

3.1 T. G. G.

For a period of time linguistic literature and thought was greatly influenced by the Sapir-Whorf hypothesis; it is mainly the Chomsky phenomenon [1957 and 1965 in particular] and the mentalistic views associated with it which brought a real challenge to this way of thinking. Chomsky's position is extreme and theoretically highly far-reaching; it is his belief that human beings are born with an innate language faculty and similar knowledge of linguistic rules, which enable them to acquire their native tongue rapidly and to develop similar features in their various native languages. Furthermore, he has claimed that these universal linguistic features and categories reflect the natural cognitive structure and predispositions of the human mind. Chomsky distinguishes [1965: 27-30] two kinds of universals, that is, [i] formal universals, associated with 'universal rules of logical structure', and [ii] substantive universals, which designate 'universal categories of conceptual content' (e.g. the contrast between 'animate' and 'inanimate'). The main arguments in favour of this theory are: [i] how can one account for the fact that a child works out for himself the rules of his native language without accepting the existence of a language faculty which helps him to do so; and [ii] the deeper and more delicate linguistic analysis gets, the more evident it becomes that different phonological and

syntactic structures are reconciled with similar structures on the semantic level. These arguments only have relative validity as linguists of a sociolinguistic or empiricist tradition will invoke opposite arguments concerning similar aspects of language, to justify their claims, namely a sociolinguistic explanation of language acquisition and of differences between languages.

Translation can play an important role in providing evidence for or against these conflicting arguments, especially as regards commonalty or differentiation of conceptual framework between different languages. In fact, 'if we can explain how it is possible to translate correctly from one language to another in terms of such commonalty of concepts, we have a case for hypothesising their existence' (Leech, 1974: 35). On the other hand, if we can show that it is not possible, we have the opposite case, namely a case for hypothesising their non-validity and the higher relevance of socio-cultural and other contextual factors in translation. Investigations carried out in the preceding chapter have shown that, in literary translation at least, commonalty of conceptual features of two lexical units may become totally irrelevant due to some crucial difference on a stylistic level of meaning [social, cultural, affective levels mainly]. It seems likely thus, that the second, rather than the first, hypothesis, would stand the test of practice.

The theoretical aspect of T. G. G.'s grammatical framework which offers the highest potential relevance to translation is no doubt the concept of deep structure in the particular way in which it is defined within transformational theory, namely as the underlying group of syntactic clusters representing the semantic structure and basic grammatical relations of a sentence. In fact, many translation theoreticians [Nida, 1975 a and b , and 1976; Walmsley 1970; Katz, 1978, among others] seem to have seen in T. G. G. the beginning of a proper, systematic translation theory, and the solution to many a translation problem, at first sight at least. But in many cases the outcome of investigations tells a different story [see Introduction, Section 4]. There are in fact, many problems involved in dealing with deep structure as a main basis for translation, by relating different surface structures to a similar, or same [in logical form], deep structure. In the first place, the split between generative semanticists [McCawley, op. cit, mainly] and the standard theory, or interpretivist school [Chomsky's revised theory, 1971 mainly] has divided problems distinctly. On the one hand, if one follows Chomsky in his most recent writings [op. cit] in which the influence of the Hallidayan notions of 'theme' and 'topic-comment', 'markedness' and other such issues concerning the semantic relevance of surface structure is conspicuous, the only semantic relations to be expressed in the deep structure of a sentence are the

relevant grammatical relations other than those just mentioned which are expressed at the surface structure level. According to this revised version of T. G. G., the semantic representation of sentences can be worked out by the application of projection rules to the syntactic deep structure. The revised theory can be represented along the following lines [using Chomsky's own notation, 1971: 213]:

base	:	$[P_1, \dots, P_i]$ [P_1 , the k-initial, P_i , the post-lexical [deep] structure of the syntactic structure which is a member of k]
transformations	:	$[P_i, \dots, P_n]$ [P_n , the surface structure; $[P_1, \dots, P_n] \in k$]
phonology	:	$P_n \longrightarrow$ phonetic representation
semantics	:	$[P_i, P_n] \longrightarrow$ semantic representation [the grammatical relations involved being those of P_i , that is those represented in P_i]

[strictly speaking, it is not P_n that is subject to semantic interpretation but rather the structure determined by phonological interpretation of P_n , with intonation centre assigned].

According to this version, therefore, to say that two sentences have the same, or a similar, deep structure, means that they have the same grammatical relations, while thematic and information structure may be different. In other words, semantically speaking, it is a rather weak relationship to establish, and for translation, it is in fact too weak to be of any significant value or use.

Now, the generative-semanticist school differs in its views from Chomsky's theory mainly in its advocacy that the deep structure of a sentence is its semantic representation. This seems to constitute a simplification of the model in that it eliminates projection rules; but in fact it is not because it adds on the other hand to transformational rules. As far as translation is concerned, such a 'strong semantic position' implies as serious disadvantages as Chomsky's version. Within a generative-semanticist framework, the deep structure contains all the semantic relations, including topic, theme, markedness, and so on. According to such a theory therefore, for two sentences to be relatable to the same deep structure, they must have the same information structure [including focus, emphasis and so on], which means that they must be exact paraphrases of each other; such close semantic correspondence between any two sentences may only rarely, if ever, be found. In other words, the generative-semanticist position does not offer better prospects than the interpretivist school's for a theory of translation.

A possible solution would be to recognise, as Nida (1969 and 1976: 75 especially) suggests, a kernel or near-kernel [or shallow] structure level as a more useful and workable level of analysis for the translator. But one would be tempted to object that 'adapting' the theory to suit one's purposes is not really following a theory at all, considering that the principal reason for translators to turn to linguistic theories is the need for systemacy and objectivity of principles and methodology. In other words, if one is to adopt a theoretical framework as a valid basis for a theory of translation one cannot take bits of the theory while leaving others, as one pleases. In any case, it is likely that even if it was accepted as valid, a kernel or near-kernel level of structural analysis would prove to be of very limited usefulness after all, as there are other kinds of limitations to the relevance of T. G. G. to translation, most of which Nida (1976) himself has recognised as will be seen shortly.

One major aim of T. G. G. as a linguistic theory is to explain linguistic structure by relating it to the structure of the human mind. In a sense, it is similar to Systemics, whose main aim also is, ultimately, the explanation of linguistic structure, but by relating it to the functions language serves for us. But the methodological orientation of their investigations is entirely different.

T. G. G. theory is constructed on the assumption of the existence of an innate language faculty in humans, which constitutes the deductive method of scientific study, according to which hypotheses are initially assumed and then proved or rejected, on the basis of experimentation. Deriving from its initial hypothesis, T. G. G.'s focus of study is linguistic competence, mainly in the sense of an underlying capacity to produce grammatical sentences, that is, building up a model of the ideal speaker-hearer's competence. Thence, in principle. T. G. G.'s focus of research is 'ideal' instances of decontextualised discourse, and the grammaticalness or ungrammaticalness of sentences. This explains why such a theory attaches itself to resolve cases of ambiguity which, in a sociolinguistic perspective, are seen for what they are, namely 'artificial ambiguities' which, once replaced in their context of use [linguistic and situational] prove to be perfectly clear, unambiguous, instances of discourse. Systemics on the other hand, follows the inductive method of scientific study, which consists in the observation of available data, on the basis of the careful description of which theoretical principles are set up. Naturally thus, Systemics focusses its studies on real, contextualised discourse, and on a different kind of competence, which Chomsky fails to take into account, but the significance of which has been recognised by other linguists [Campbell and Wales, 1970: 247], namely the ability

to produce and recognise utterances appropriate to the context in which they occur. Concerning these points therefore, Systemics has an obvious advantage over T. G. G. as translation deals with real instances of linguistic use only, and must also take into consideration the expectations and reactions of the RL readers. The problem at stake is not how people ought to speak or react, but rather how they do in fact.

Moreover, there is another theoretical point concerning which T. G. G. is at a serious disadvantage with Systemics, and which constitutes an important shortcoming of the model in its relevance to translation (and also for the description of stylistic meaning as will be seen later). As a direct consequence of T. G. G.'s concern for linguistic competence, and thence decontextualised discourse, the unit of analysis never exceeds the sentence. This implies that the various types of linkage between sentences and paragraphs, formal and linguistic description of texts as wholes and unique communicative acts, in other words, all that has to do with the organisation of pieces of discourse into text (including rhetoric), is given no consideration within a T. G. G. framework. This aspect of T. G. G. has very severe consequences for the study of literary texts, and thus for their translation, because the text as a whole is a major semantic and structural unit in both domains of linguistic study (on the notion of 'text', see Chapter Five, Section 5.3.2).

3.2 Systemics

The whole orientation of Systemics, which is mostly sociolinguistic, is diametrically opposed to that of T.G.G.. It is, on the one hand, related to some extent both to the relativist school of linguistic thought and to the empiricist school of philosophy. A sociological as well as empiricist view of language will explain how children, through learning different languages, also learn different conceptualisations of experience, being exposed to different cultural environments; and the relativists will even go as far as claiming that our native tongue imposes its own grid on our experience and that our perception of the universe is thus channelled into the lines of thought it has cut into reality. These different schools of thought are related in their social perspective on language where the emphasis is on differences between languages accounted for by cultural differences. Systemics, however, and principally Halliday, recognises similarities between languages on a functional level. He advocates, it is true, the hypothesis that linguistic structure has been shaped by use, and agrees that uses vary to some extent between languages; but he nevertheless rassembles natural languages on the level of three, mainly social, functions it serves for us, namely the ideational [logical and experiential], the interpersonal and the textual functions. These functions constitute the adult's meaning potential from which he makes certain options

in social and personal situations and settings. The main arguments Halliday brings in support of his theory are: (i) that language does not occur in a vacuum; what one encounters is 'sequences of language articulated each within itself and with the situation in which it occurs', and 'such sequences are purposive - though very varied in purpose - and have an evident social significance' [1973: 20]; (ii) the form of the grammatical system of a language is closely related to the social and personal demands we make on language; and (iii) ultimately, at a deeper level, language transmits not only messages, but also the social structure, cultural values and systems of knowledge which underlie and characterise a culture, and a functional approach to language may throw light on how this is done. The last argument is of the highest interest for linguistics in general, and translation in particular; if Halliday's approach to, and theory of, language can begin to explain how culture is expressed through linguistic structure, there is some hope that these intricate problems of cultural meaning which are among the most puzzling ones for the translator may be accounted for, and explained, within a proper theoretical framework. Attempts in this direction have been made [see Vinay and Darbelnet, 1958, for instance] and have shown it to be a promising area of investigation for the development of translation theory. A good number of linguists and theorists of meaning and translation, and even more so in recent

linguistic and philosophical literature [to name but Catford, Nida, Steiner, Kelly, Lyons, op. cit: 235-238; and Putnam, Tymokzco and Wheeler, op. cit], have recognised the importance of the social and cultural aspects of meaning in linguistic, semantic and translation theory. Explorations in the cognitive meaning of words in the previous chapter have revealed just this. Even Nida, who, we have seen, advocates the use of matrices of semantic components for the description of cognitive meaning, reaches the conclusion that, ultimately, 'the underlying principles for determining the adequacy of a translation are largely sociolinguistic' [1976: 65]. One major advantage of Systemics which seems outstanding as regards its usefulness in translation, is that it provides in its theoretical framework for an account of both the cognitive, and the socio-cultural aspects of meaning.

Within Systemics, cognitive meaning is dealt with under the ideational [experiential and logical] component [or function] of language; this function is that of expressing content, of encoding our experience in the form of an ideational content' and it 'not only specifies the available options in meaning but also determines the nature of their structural realisations' [Halliday, 1973: 39]. To describe cognitive meaning Systemics uses a form of deep structure, to which, for instance, an active sentence and its passive counterpart may be related; but the main code of description

at this level of meaning is related to the transitivity system in the grammar of the clause. The transitivity system is organised in a systematic way with different labels being assigned to clauses [middle, non-middle, etc. .] depending on whether they have one or two participants, on whether the clause is transitive or intransitive, and on which rôle each participant adopts, mainly [for a summary of Halliday's grammatical theory, see Halliday, 1970: 140-166]. Cognitive meaning of clauses and sentences is thus described mainly in terms of relations between participants in actions, mental processes and relations, in similar terms, in fact to those of Fillmore [1968] and Anderson [1968 a] in their treatment of deep cases [e.g. actor, prime mover, affected entity, instrument, goal, etc. . .]. Consider the following sentences for instance:

[i] Bill gave John a book.

[ii] John was given a book by Bill.

Their common deep structure can be represented as follows:

[i] Bill gave John a book	<u>Deep structure analysis</u>
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> </div> <div style="display: flex; justify-content: space-around; align-items: center;"> actor action recipient affected entity </div>	In both [i] and [ii], <u>'Bill'</u> is : actor <u>'John'</u> is : recipient <u>'a book'</u> is : affected entity
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> <div style="text-align: center;"> </div> </div> <div style="display: flex; justify-content: space-around; align-items: center;"> recipient action affected actor entity </div>	
	<u>'gave/was given'</u> is :

Deep structure analysis

action [non-middle, active and passive respectively], although the order of constituents at surface level is different.

Diagram 3.1 Deep structure analysis

There are, however, other functions performed by the same participants, at the two other functional levels, i.e. the interpersonal and the textual. It is a characteristic feature of a Systemic model of description that the same constituents in clause structure are considered as playing different rôles simultaneously at the three functional levels. I will now examine these two other functions of language.

Apart from its informative function, language also 'serves to establish and maintain social relations' (Halliday, 1970: 143); this constitutes its interpersonal function, which enables the speaker to interact with others, and to express, develop and reinforce his own personality and identity. Through this function moreover, social groups are delimited. This function encompasses a large number and variety of semantic relations and aspects of social meaning, but as far as grammatical description is concerned, it is related to the mood and modality system in the clause structure, i.e. whether one is making a statement, asking a question or expressing doubt or surprise [declarative, interrogative and exclamatory moods], or whether one is

formulating an opinion, or ordering someone etc. . . What is meant is that the mood and modality system provides a systematic meaning potential from which one makes options to express the model of our interactions with others. At the interpersonal level therefore, in sentence [i], 'Bill' is the 'modal subject', whereas in sentence [ii] 'John' is. The modal subject is also called 'grammatical subject'. The interpersonal function defines the communication rôle adopted by the speaker, which is different in [i] and [ii], as shown by their different modal subjects.

The last function, the textual, as its name indicates, is concerned with connections between stretches of discourse, that is, their construction into texts. Within Systemics, the basic unit of language and analysis is not the word or the sentence, but a 'text'. Language through this function provides linkage and cohesion within itself and with the situation in which it is used. It is through this function mainly that a living, actualised 'message' may be distinguished from a decontextualised sentence, or an entry in the grammar or dictionary. This function corresponds to the thematic structure in the grammar of the clause, which itself has to do with how we choose to organise a message in terms of emphasis, focus, topic and comment etc. . . In his recent writings, as mentioned earlier, Chomsky [1971] has revised his theory to introduce such semantic relations as are treated under 'thematic structure' in Halliday,

which move can be seen as a recognition on his part of the semantic and structural significance of such elements of sentence structure. T. G. G., however, does but acknowledge the semantic validity of thematic, and thus, surface structure, without expanding further in this area in any clear definition or systematisation of such structure. In translation, particularly of so-called literary texts, as pointed out above, the importance of the textual unit is outstanding, and appropriate treatment and description of such a unit can but constitute an indispensable advantage for a linguistic model in the consideration of its relevance to translation. In this regard therefore, Systemics definitely excels T. G. G..

Within Systemics, it is an interplay of the three functions of language in a text, which constitutes and carries its meaning, and although these can be analysed and described separately, they are closely interwoven. All these three linguistic levels are thus semantically relevant, which implies the existence of a total inter-relationship between syntax and semantics. This can be illustrated with the help of the following example borrowed from Halliday [1970: 146]:

[iii] Sir Christopher Wren built this gazebo in 1669.

[iv] In 1669, this gazebo was built by Sir Christopher Wren.

In [iii] Sir Christopher Wren is the 'actor' (or 'logical subject', at the level of the ideational component), the 'modal subject' (at the level of the interpersonal component), and also the 'theme' (or 'psychological subject', at the level of the textual component); whereas 'this gazebo' is the 'goal' or 'affected entity' (ideational component), and 'in 1669' is a circumstantial. In this sentence thus, the three functional rôles coincide in the same element of clause structure, i.e. 'Sir Christopher Wren'. In sentence [iv] however, they do not; 'Sir Christopher Wren' is the 'logical subject' or 'actor', 'this gazebo' is the 'modal subject', and 'in 1669' is the 'theme'. These examples illustrate how the same logical structure may be encoded syntactically into different messages.

Considering the case where [iii] must be translated into French, let us see how logical, or deep, structure analysis, within Systemics and within T.G.G. (both the interpretivist, and the generative semanticist, versions) can assist the translator in his task. The normal procedure would be to find, on the basis of the English sentence's deep structure, French equivalent sentences, that is, sentences which have the same deep structure. The deep structure analysis of [iii], following each respective model, is as follows:

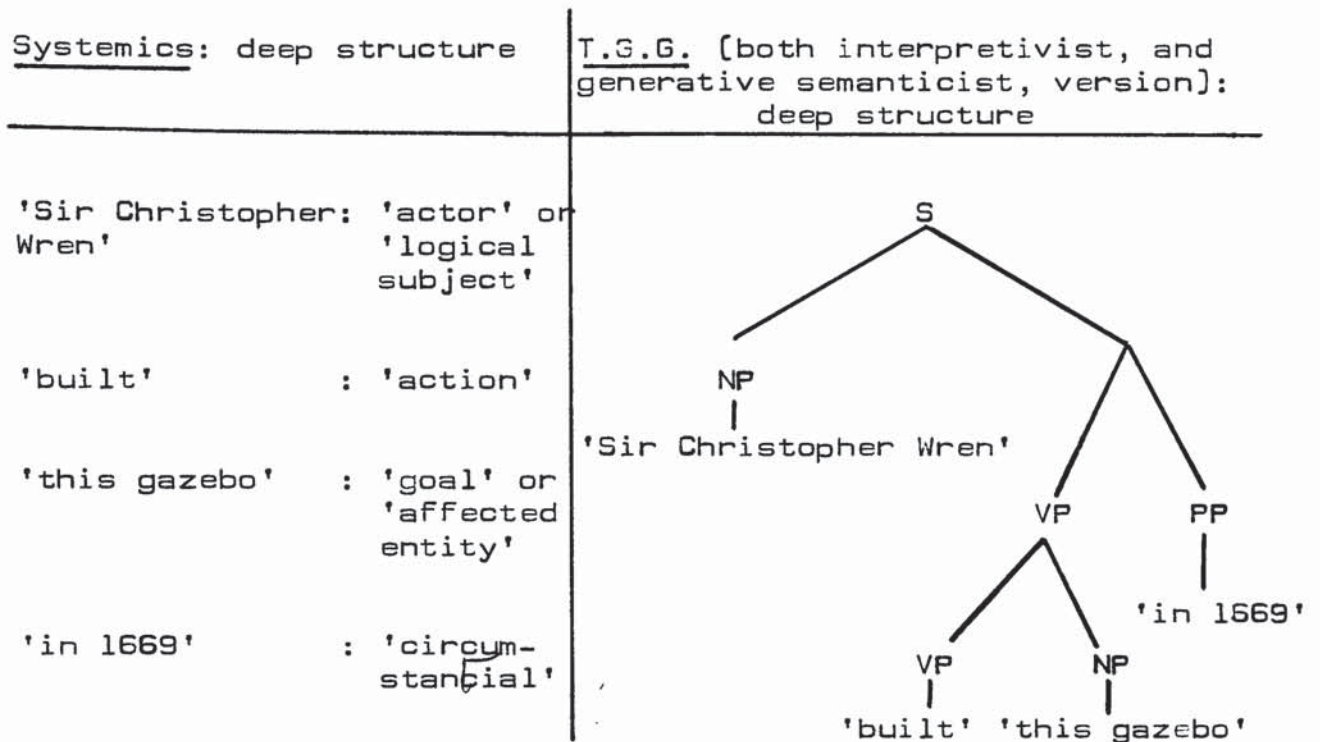


Diagram 3.2 Deep structure analysis of [iii]

Consider now the following three possible French versions:

- [a] Sir Christopher Wren construisit ce pavillon ['ce kioske'/'cette gloriette'] en 1669.
- [b] Ce pavillon ['ce kioske'/'cette gloriette'] a été construit(e) en 1669 par Sir Christopher Wren.
- [c] En 1669 Sir Christopher Wren construisit ce pavillon ['ce kioske'/'cette gloriette'].

Now, as we have seen earlier, sameness of deep structure has different meanings within Systemics, the interpretivist, and the generative semanticist school. In Systemic theory it means that the rôles of participants are the same; according to Chomsky, it means that the [deep

structure] grammatical relations are the same; whereas in McCawley's framework it implies that the sentences have exactly the same meaning, in all respects. With these distinctions in mind, within Systemics, the three above French versions are logically equivalent to each other and to [iii]; within generative semantics, only [a] is correct; whereas within the interpretivist school, [a], [b] and [c] are logically equivalent and suitable versions of [iii] [provided that, as far as [b] is concerned, the mention 'passive' is introduced before the deep structure tree].

However, although [a], [b] and [c] are logical equivalents [in Interpretivist and Systemic theory at least], they do not have the same meaning at the interpersonal and textual levels, as far as Systemics is concerned, or they have a different thematic structure in Chomsky's terms. The Generative Semanticist approach has proven too restricted to be of much use, as within it, [a], [b] and [c] have different deep structures. One can thus conclude that, insofar as the informative or logical function of language is in focus in the text to translate, both Chomsky's model's, and a Systemic type of, deep structure analysis constitute an adequate basis for translation. But in the event that any intonational accent is introduced [which would change meaning, and be semantically relevant at the surface level], or if thematic structure has any stylistic significance,

that is whenever the contextual aspects of meaning are in the foreground, only a Systemic analysis, at the interpersonal and textual levels, in addition to the deep structure level, would be apt to describe and account for the relevance of these semantic aspects, and would thus be satisfactory for translation purposes. Although the Interpretivist framework recognises the semantic relevance of thematic structure, it is not accounted for in the model of linguistic description.

The stylistically relevant aspects of meaning are most conspicuously in focus in so-called literary texts; the extent of their relevance in ordinary uses of language remains to be investigated. The failure of machine translation has clearly indicated that there is more to meaning than is normally revealed by a cognitive analysis. What seems certain, however, at this point is that such analyses have little to contribute to the translation of literary, as of many other, texts, in theory, and the less so in practice, as further examples will soon demonstrate.

In order to emphasise the main points made above before introducing more examples, the following section sums up the theoretical contributions and limitations of the two models under study for translation.

3.3 Outline of T.G.G. and Systemics theoretical Frameworks in their relevance to translation

1. T.G.G.

A. The interpretivist school

a) advantages:

- (i) One of T.G.G.'s major potential contributions to translation is no doubt its treatment of cognitive meaning, at the deep structure level of analysis [trees]. This permits to reveal presuppositions and semantic implications often unnoticed at the surface structure level. It also reduces sentences to simpler forms, which is an advantage in the case of complex surface structures.

There are, however, restrictions to the validity and usefulness of deep structure for translation; we have seen that relating two [an RL and an SL, in this case] surface structures to a similar [same] deep structure proves to be an insignificant relation, since thematic content belongs to surface structure, unless the logical aspect of meaning is in focus.

- (ii) The major point of interest for translation in Chomsky's theory is its theoretical rigor, which Systemics lacks to a certain extent.

b) limitations:

- [i] The model's focus on an ideal speaker-hearer and on decontextualised discourse (translation deals with real instances of language use, in their linguistic and situational context of use, uttered, heard or read by real people).
- [ii] The restriction of the main unit of analysis to the sentence, which makes the model somewhat inept to deal with a unit of major importance in translation, i.e. the 'text'.
- [iii] The semantic emphasis at deep structure level; the semantic relevance of surface structure is recognised, but not in its full significance, and it is not dealt with in any systematic manner.
- [iv] The model fails to provide in its theoretical framework, for an account of the contextual (mainly social) aspects of meaning, crucial in translation.

B. The generative-semanticist school

Owing to its 'strong semantic position', the model appears altogether unsuited for translation purposes. Its only possible relevance lies in its treatment of deep structure; however, as we have seen, the model requires that for them to have the same deep structure,

two sentences must have exactly the same meaning, including thematic and information structure, and since this rarely, if ever, occurs, within such an approach, deep structure cannot serve as a basis for translation.

2. Systemics

a) advantages:

- (i) The most outstanding advantage of Systemics for translation is its sociolinguistic orientation from which derives the model's focus on language in use, including all aspects of context. It has become an increasingly well-recognised fact that language cannot be properly studied outside its social context, and this proves to be all the more true when translation is concerned. A Systemic approach to the theory of translation may help to explain how socio-cultural information is transmitted through linguistic structure even in ordinary discourse.
- (ii) The model's functional approach to language; it is highly relevant to translation in two distinct but related ways:
 - a) Through a functional view of discourse, a theory of translation will be able to define

different approaches to translation according to the various functions in focus in particular texts [ideational, interpersonal and textual].

- b) Through a functional approach, the adequacy of a translation will be judged on the basis of equivalence, not between an SL and an RL content, but rather between the SL and RL texts' functional significance at the sociolinguistic level [see Chapter Five on this]. This also means that particular translation problems may be identified as occurring at a specific functional level, and that the grammars of meaning potential of various languages [i.e. what a language can or not mean at a specific functional level] may be compared in the translation process.

- [iii] The choice of the 'text' as the principal unit of analysis and description is highly relevant to translation, and the more so in the translation of literary texts, where stylistic matters are so crucial.
- [iv] The consideration of the existence of a constant close interrelationship between form and meaning, which underlies the whole theoretical framework and from which derives an account in the model for semantic and stylistic relevance at all grammatical levels

[i.e. deep and surface structure] and at all functional levels [ideational, interpersonal and textual].

b) limitations:

- (i) The most important limitation of Systemics as compared to T.G.G. is its relative lack of theoretical rigor.

3.4 An example

The above and the previous sections have already strongly indicated that description of cognitive meaning alone is seriously restricted in its contribution to translation in general, and even more so as far as literary translation is concerned. The example that follows will show that the practice of translation does more than corroborate this.

We have seen that, within T.G.G., predominance is granted to the cognitive aspects of meaning, the relevance of the other, contextual or stylistic aspects being but recognised, whereas within Systemics, description of cognitive meaning is but one of the aspects of semantic description covered by the model, no more important than the other aspects, and which is not intended in the model to be carried out on its own. A full Systemic analysis, as noted earlier, involves also the interpersonal and textual components of

meaning. Nevertheless, as my principal concern in this chapter is the investigation of the usefulness for translation of semantic description at the cognitive level of sentences, my observations and discussion concerning the example below are essentially based on an analysis at the cognitive level only [following either T.G.G. or Systemics]; this analysis will be shown to be grossly deficient as a basis for translation, and I will resort to an informal contextual and stylistic analysis to demonstrate this, and to indicate the most relevant aspects of the meaning of the text for its adequate translation.

This example is borrowed from a paper by Makkai [1971] on T.G.G. and translation. It was selected because although very short it illustrates admirably the kinds of problems encountered in translation [particularly in literary translation]. It is a didactic-performative nursery rhyme of four lines, in Hungarian:

Pont, pont, vesszőcske,
 Készen van a fejecske.
 Kurta nyaka, nagy a hasa,
 Készen van a Török Pasa.

Makkai gives the following literal English translation:

- [i] Period, period, little comma,
 The little head is ready.
 His neck is short, his belly is big,
 The Turkish pasha is ready.

This version is in fact based on an equivalence between Hungarian and English at the cognitive level only. A morpheme-to-morpheme translation yields in English:

- [ii] Period, period, comma, diminutive suffix,
 ready, adverbial suffix, is, the, head,
 diminutive suffix.
 short, neck, possessive suffix, large, the
 belly, possessive suffix,
 ready, adverbial suffix, is, the, Turkish, pasha.

The cognitive content of the two sentences which compose the little poem is very simple indeed, and were it not for the fact that we know it is a nursery rhyme, the translator's work might as well end here. It is obvious, however, that, as a didactic-performative nursery rhyme, [i] is inadequate; and the more we obtain contextual information about this nursery rhyme the more obvious this will become. Let me emphasise that the failure of [i] is at the functional rather than at the informative level. But this will be made clearer by what follows.

It has been mentioned that the nursery rhyme is of a didactic-performative type. In fact, when he utters 'pont, pont, vesszBoske' [period, period, little comma] the child draws two eyes and a nose, and perhaps a mouth also,



Fig. 3.1

during the utterance of 'Készen van a fejecske' [the little head is ready], the child draws a circle around eyes, nose and mouth, thus completing a head:



Fig. 3.2

While pronouncing 'Kurta nyaka' [his neck is short], the child draws two vertical lines for the neck:



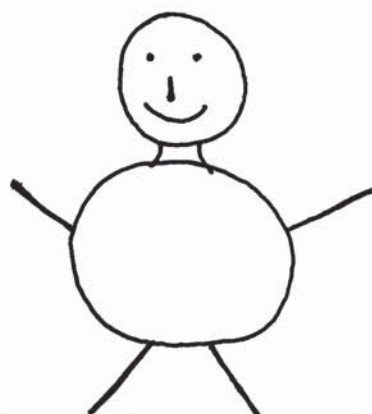
Fig. 3.3

while at the same time, as he says 'nagy a hasa' [his belly is big], he draws a large circle below the head which looks like a big tummy:



Fig. 3.4

With the last part of the nursery rhyme, 'Készen van a Török Pasa' [the Turkish pasha is ready], which breaks into four pairs of two syllables each, the child gets the rhythmical stimulus to draw two little lines for the arms and two more for the legs, and thus completes the drawing:

Fig. 3.5

knowing all this makes one realise better to what extent [i] is inadequate as a translation of the original; but a purely logical analysis of the text could not possibly have revealed this fact. The knowledge of [i]'s inaccuracy comes through contextual information about the poem, i.e. knowing that it is a didactic-performative nursery rhyme, and how it is used by children in Hungary. Let us now see what additional problems one encounters in the translation of the poem into French.

The task is really more complicated than it appears at first. In fact, one finds that one cannot begin to translate without a systematic analysis of the form of the text, which means recognising the need for a stylistic analysis. It is certainly not irrelevant to the communicative value, use and meaning of the nursery rhyme that it has two sentences of two lines each, and contains twenty-eight syllables altogether, that line one rhymes with line two, and line three with line four, that the first three words at the beginning of line two are repeated at the beginning of line four, and that the performance of the drawing is

rhythmically dictated by the arrangement of syllables and punctuation; in line one for instance, one distinct punctuated syllable for each dot makes the eyes, and there are three syllables together for drawing the lines for the nose and the mouth; whereas line four breaks into four equal pairs of two syllables for drawing two arms and two legs.

All such features must be observed and noted. Then the translator must make decisions based on criteria of semantic relevance [see Chapter Five, Section 5.3 and following ones in particular]; he must decide which of the features of the poem's structure predominate, that is, which ones are the most important to the impact and meaning [at various levels, e.g. subject-matter and theme] of 'this' poem. He will thus be led to keep some features while sacrificing others [the less significant ones], assuming that he is incapable of reproducing them all and/or that certain features of the text are not really essential to the meaning of the text. Surely, in this example, the rhythm and the completion of the human figure [an aspect of the contextual meaning of the poem] are the most important features, and predominate over content and cultural overtones; then come the rhymes, if it is possible to preserve them. In fact, cultural adjustments must take place: a 'Turkish pasha' has very little meaning for a French, or French-Canadian child [if he has ever heard of one].

Note, however, that the foreign, cultural overtones would be perfectly suitable in a fairy tale; there is, for instance, 'Ali baba and the forty thieves', and 'Aladdin et la lampe merveilleuse'. But nursery rhymes seem to be more particular to a culture, usually referring to things or events familiar to the child in his world and environment.

The rhythm^[2], as I said earlier, to some extent restricts all other choices, and must, somehow, be made to fit the performance of the drawing; it will not be exactly the same as the original's, but will be modelled on it, while departures from it will be dictated by French lexis or syntax mainly. The lexis, in particular, has to be consistent with the kind of drawing [dot or line, or circle] the child is required to make. Note also that concision is an important feature, more difficult to achieve in French than in English. My version has only one more syllable than the original [twenty-nine], in a slightly different distribution [which is unimportant]. I was careful, however, to keep the eight syllables pattern in the last line as it possesses high rhythmical relevance. As for rhymes, the first choice I made, which could not be as flexible as the others, was as to a French equivalent for 'Török pasa'. Makkai chose 'fat dummy' in his English version, which I find suitable in [American] sociolinguistic terms, and also as far as the kind of drawing involved is concerned [perhaps not rhythmically though]. I thought of 'patapon' in French,

which suggests a big, fat person or clown. Making the third line end on 'bedon' [for 'belly'] achieves a rhyme. As for the other two rhymes they are achieved, in line one, by 'traits d'union' [for 'comma'] and by 'rond' in line two. The translation thus goes:

Point, point, traits d'union,

Nous finissons la tête d'un rond.

Un petit cou, quel gros bedon,

Nous finissons le patapon.

The first, major, point to make concerning this example is that a good deal of the original cognitive content had to be sacrificed for the sake of more important stylistic and contextual features of both form and meaning [mainly the rhythmical and rhyming patterns. Thus, the aspects of meaning in focus in this specific text (and it is also true in many literary texts) are not the cognitive, but the kinesthetic [here] and contextual aspects. Note that translation into other languages would lead to similar conclusions; consider for instance Makkai's English version:

Dot, dot, tiny thread,

Ready is the tiny head.

Short his neck, and huge his tummy,

Ready is the big fat dummy.

In fact, a comparison of the English and the French versions does but confirm the above-mentioned conclusions, as it emphasises even more strongly that here, certain aspects of cognitive meaning must be sacrificed for the sake of other semantically and functionally more important aspects of the poem. Makkai's version shows a concern for the rhythm, rhymes and concision, and most importantly, for coherence between these features, lexis and syntax, and the successful performance of the drawing, the ultimate function of the text.

3.5 Conclusions concerning cognitive meaning, Systemics T.G.S., and translation

- (i) Description and analysis of cognitive meaning may be useful as a primary basis for translation, in general, but it is by no means sufficient on its own for the translation of literary texts, the main reason for this being that it is often the contextual and stylistic aspects of meaning, rather than the purely cognitive aspects (as described in deep structure analysis) which are central in literary texts. Moreover, it seems likely that even for general purposes, cognitive meaning analysis will often have only limited usefulness, particularly when the cognitive content of the text to translate is simple; the usefulness of such analysis should

therefore be greater when dealing with complex cognitive [lexical and/or syntactic] structures.

- [ii] Speaking of adequacy of description of meaning and of translation in general, the Systemic model seems much better equipped than T.G.G. to deal with translation problems. We have seen that contextual aspects of meaning [linguistic, cultural, affective, thematic, and stylistic in general] are very important in translation, and whereas, in theory, Systemics provides for an account [systematic enough] of these semantic aspects at the interpersonal and textual levels of the functional component, it is not clear how T.G.G. could account for them at all.
- [iii] Ultimately, in literary translation, as suggested by the example of the nursery rhyme, the usefulness of a model of linguistic analysis must really be tested at the stylistic level [which involves the contextual aspects of meaning mentioned above and in Chapter One], i.e. in its usefulness to stylistic analysis, which is the subject of the next chapter.
- [iv] In the end, however, for the principal reason mentioned above in [ii], concerning contextual matters, it seems unlikely that T.G.G. will prove of greater use than it has been shown to have until

now, when dealing with the stylistic aspects of meaning. Owing to its narrower views on meaning and the semantic relevance of linguistic structure, the model seems basically unsuited to deal adequately, in any systematic manner, with semantic problems other than those related to cognitive meaning, and it has been shown that such treatment of meaning is grossly inadequate in translation, more specifically so in the translation of so-called literary texts. Nevertheless, as the treatment of stylistic meaning raises a number of particular questions and problems concerning the models of linguistic analysis practically untouched up to now, such questions require a separate chapter.

3.6 Propositional logic and translation

In philosophical literature, the cognitive content of sentences is discussed in terms of propositional content. As long as propositional logic persisted to talk of meaning in terms of truth-value and reference or denotation, it had very little to contribute to translation, theory or practice. A totally different tendency is growing nowadays, to the benefit of translation theory, and it consists mainly in a renewed interest in, and recognition of, the importance of the contextual [social and stylistic] aspects of meaning.

Different authors have concentrated on different specific areas of context, such as the social dimension of the cognitive meaning of words [Putnam, op. cit], the general socio-cultural factors which must be incorporated in any theory of meaning as elements inseparable from other semantic elements involved in communication [Tymoczko, 1978 : 29-45], or the impossibility of exact translation due to social factors in meaning [Wilson, 1978: 95-109 ; and Keenan, 1978: 157-191]. It is interesting to note that these authors share similar ideas as to what is an adequate view of meaning when translation is concerned, and that these ideas corroborate the most important conclusions reached up to now in this work. These ideas may be presented here in Tymoczko's words [op. cit: 30]:

'The relation between a body of discourse and the meanings expressed by its sentences is not exclusively a formal-semantical relation. It obtains only relative to other facts or theories about the world, particularly about the language users' relations to that environment and to each other. Meanings, as it were, are relative to the speakers and their environments. Hence, the distinction between a semantical account of translation and a broader account which brings to bear ethnological considerations is illusory. The semantic account of a language includes ethnological analyses of the linguistic community. A fortiori, translation itself must include such analyses'.

Tymoczko goes even farther than I have at this stage of the dissertation, as it is clear from the above statement

that in his view, T.G.G. is definitely cast out of the translation field, theory and practice [as well as out of the semantic field]. Moreover, there are, on the other hand, very clear and unmistakably close theoretical links between a theory of meaning and translation as Tymoczko advocates and Systemics, as a sociolinguistically-oriented, functional model of language. The following quotations will show these links to be even remarkably close [Tymoczko, op. cit: 36 and 37 respectively]:

'Here 'social environment' is a non-technical term intended to cover such things as the available rôles in a society, its modes of personal interaction, its institutions and institutional obligations etc. ..
 . . . Our conclusion, then, must be that the states of the special sciences directly influence our choice of meaning assignments to a language. What a language can mean depends upon the environment of the language users . . .'

Compare this with Halliday's ideational function, related to the transitivity system and the rôles of participants in communication, and his interpersonal function, or the ways in which people interact, related to the mood and modality system.

'An example . . . will help us to appreciate the importance of pragmatics to semantic theory. Pragmatics, in part, investigates the tone of discourse, what linguistic activities people perform with words, e.g. reporting, predicting, hypothesising, bantering, lying, joking, and so on.

Our theory of what a language 'means' is dependent upon our theory of what the language users are doing with their language'.

[This constitutes a functional approach to language and semantics].

As it has already been made plainly evident by a number of previous statements and conclusions, it is the view adopted in this work [following Catford, Nida, Kelly, Putnam, Wheeler, Tymoczko, among others], that a sound translation theory can only be derived from a socio-linguistically-oriented approach to language and meaning, and that, ultimately, the only valid theory of translation must also have a functional orientation [see [iv] below]. Tymoczko, in fact, expresses what should be the realistic principles underlying an adequate theory of meaning and translation. Note that his views are by no means restricted to so-called 'literary translation'. But I have already mentioned, in several instances, that the boundaries between 'literary' and 'non-literary' texts are far from being clearly defined, as far as stylistic relevance and contextual meaning are concerned principally. And in any case, investigations on translation in general can but throw light on literary translation too, and conversely. It is also my view that, in the end, the principal conclusions reached in this work [the content of Chapter Five in particular] apply, on a general basis, to all kinds of translation, with certain restrictions of extent however, as regards certain types of texts [such as technical texts].

The views on semantics expressed by the above authors, Tymoczko in particular, entail the following consequences for translation and semantic theory.

- [i] The social environments in which a language is used lay down the limits of acceptable meaning assignments to sentences; this Tymoczko [op. cit: 33] calls 'the thesis of relativity of meaning assignments', and he defines it as follows:

- '... for any meaning assignment M_1 to a language or body of discourse there is another M_2 , and this pair has the characteristics:
- a) for certain sentences s under consideration, $M_1[s]$ and $M_2[s]$ are different semantic structures;
 - b) the correctness or incorrectness of these meaning assignments cannot be judged on semantic grounds alone'.

This thesis is different from, but logically equivalent to, Quine's thesis of indeterminacy of translation. 'The thesis of relativity of meaning assignments' implies that the adequacy of a translation may only be judged on socio-linguistic grounds.

- [ii] The second main consequence is that, a fortiori, social and ethnological factors may in no case be left out of an adequate linguistic, semantic or translation theory. And to the extent that it overlooks the social aspects of cognition, a theory of language is unsatisfactory.

- [iii] A natural consequence of [i] and [ii] is that truth-value [Tarski-type] theories of meaning are grossly inadequate in semantic and translation theory.
- [iv] A fourth consequence, very important for translation theory as will be seen in the last chapter, concerns the nature of meaning; the views expressed above entail that meaning is an 'individual phenomenon' [in the Firthian sense], in the sense that, in semantic theory, the [interlingual] relation = does not 'exist'. The only relation that can be established, let us say between two sentences in different languages, is an equivalence at an abstract level between two different phenomena rooted in different cultural and social environments; such an abstract equivalence is of a functional kind, and is not, in principle, one between similar contents [for further discussion on the points and issues raised in these conclusions, see Chapter Five].

Chapter Four T. G. G., Systemics, Stylistics and Translation

The investigation of the applicability of formal methods of linguistic description and analysis to the study of style is not a new phenomenon in literary criticism and stylistics. A number of linguists, poets and stylisticians agree that a linguistic analysis is an essential step towards a proper understanding of the workings and meaning of a literary work (see Cluysenaar, 1976; Sinclair, 1970; Leech, 1970; Halliday, 1973; Etkind, 1967;^[1] and the works of Richard Ohmann and Samuel R. Levin, among a great number of others). The question at stake really is, which linguistic model to use? In a previous work (M.A.thesis 1977) I have myself investigated the usefulness of Systemics (Scale and Category grammar), mainly from a practical point of view, for the linguistic and stylistic analyses of 'The Raven', by Edgar Allan Poe, and the usefulness of such analyses as a basis for the translation of the poem. The conclusion was reached that the analyses were useful, particularly to distinguish crucial from neutral (semantically) elements of structure, but that 'intuitive procedures' also intervened (including for instance, the translator's choice of a version among a series of alternatives).

In the present chapter I intend to show that the limitations(theoretical and practical) inherent to the use of T.G.G. for the study of style are so basic and numerous

that the dangers of using the model far outweigh its utility. Kintgen [1974] and Messing [1971] reached this conclusion in their investigations on the subject. Furthermore, I intend to demonstrate that Systemics in many respects, excels where T.G.G. fails, and thus is much better suited to stylistic studies. T.G.G.'s contribution to stylistics [with the restrictions explained below] may be summed up as follows: within a T.G.G model , stylistic comments revolve around the following aspects of linguistic structure: [1] complexity [embedding or right-branching]; [2] grammatical deviance, syntactical or lexical [breaking up rules of the base, or rules of selection restriction]; and [3] an author's predilection for a number of specific transformations [based on the identification of the dichotomy form-content with the distinction between surface and deep structure, from which derives the notion of stylistic choice [at surface level] based on a common content [deep structure level]. Systemics can account for similar notions within a different terminology and methods of description, only less formally and systematically than T.G.G. as far as points [2] and [3] are concerned [whose stylistic validity is severely limited in any case, as will be shown in the following section], but it has additional advantages, the main one being derived from its socio-linguistic orientation, with the wider view of meaning and the relationship form-content that it implies, which enables

the model to account for a much wider range of stylistic phenomena and variations at different levels of structure.

To support my arguments against T.G.G. and for Systemics, I will examine a short poem by Robert Graves 'Flying Crooked',^[2] and the respective models' treatment [linguistic and stylistic] of its structure. Finally, in order to provide further evidence on the usefulness of the Systemic model to stylistic studies in the context of translation, I will study an English poem by W. H. Auden, 'O Where Are You Going?', and propose my French version based on the linguistic and stylistic analysis of the poem.

4.1 T.G.G. and Stylistics

It is obvious from the lack of debate on transformational stylistics that the enthusiasm which has characterised transformational linguistics did not affect stylisticians. There has been, in fact, a notable neglect on the part of literary critics and stylisticians, concerning transformational grammar. This already suggests that the model comprises inherent limitations. Nevertheless, two scholars have done quite an amount of insightful research on the application of T.G.G. to studies of style, namely, Samuel R. Levin and Richard Ohmann. Samuel R. Levin has been principally interested in accounting for three characteristics of poetry: that it is more unified, more novel and more compressed than ordinary language. In a

series of papers^[3] he deals with novelty of poetic language as expressed in its deviance from the norms of ordinary language [grammaticalness]. As far as 'unity of structure' in poetic language is concerned, he introduces, to account for this unity, the concept of 'coupling', which consists in the placement of items phonetically or semantically equivalent in syntactically or prosodically equivalent environments. As for the third characteristic, in 'The Analysis of Compression in Poetry' [1971], he proposes a transformational source to account for it.

Richard Ohmann^[4] on the other hand, and more firmly so at the beginning of his investigations on T.G.G. and stylistics, mainly saw in transformational grammar the basic framework to account for the dichotomy form-content which he considers essential for style to exist; of course, he identifies such a dichotomy with the distinction surface-deep structure. He also proposed [1962: 226] that stylistic preferences as shown by preferences for certain transformations, 'reflect cognitive preferences'. As he later realised himself, in 'Generative Grammars and The Concept of Literary Style' [1970: 268 in particular], there are serious theoretical difficulties involved in the assumption of the parallel between the split form-content and the surface-deep structure dichotomy, as I will show in greater detail further on. And if one, having recognised those difficulties, is to overlook them to some extent in

order to increase the model's relevance to stylistic studies, one undercuts the most important justification for using linguistic theory in the first place, as Kintgen [op. cit: 817] points out, namely 'that it provides a precise and formal alternative to impressionistic analysis. If the impressionism enters in choosing which parts of the grammar are used and which ignored, not much will be gained from the formalism that is left'. The works of both Levin and Ohmann thus exhibit some of the shortcomings of transformational stylistics. These are numerous and varied. They can be classified in two main categories: theoretical limitations, further subdivided into a priori ones and others; and limitations relating more particularly to the model of linguistic description. The presentation of these shortcomings will involve repetition of certain characteristics of T.G.G. discussed in the preceding chapter. However, given the different scope of the present chapter, this is felt to be useful and even necessary in the context of the dissertation as a whole.

4.1.1 Theoretical limitations

An outstanding a priori limitation of T.G.G. to its application to stylistic studies lies in a most fundamental principle of the theory which colours the whole of the framework and constitutes, in fact, its central focus, namely the concept of linguistic competence versus

performance as described by Chomsky (1965). As a matter of fact, the contrast between competence and performance in transformational theory seems to outlaw the linguistic study of literary texts. Doesn't the use of language to produce aesthetic effects belong to the realm of performance? But Chomsky states (1965: 9):

'When we say that a sentence has a certain derivation with respect to a particular generative grammar, we say nothing about how the speaker or hearer (and presumably writer or reader) might proceed, in some practical or efficient way, to construct such a derivation. These questions belong to the theory of language use - the theory of performance'.

Surely, however, stylistic studies centre upon specific sentences in texts of literature which are the constructions of individual writers, and as such therefore, they would seem to lie beyond the scope of Chomsky's theory. These doubts have been expressed by Gordon Messing in 'The impact of Transformational Grammar upon Stylistics and Literary Analysis' (1971: 58):

'The fundamental assumptions of transformational grammar are in themselves wholly neutral with respect to the linguistic investigation of literary styles. Their application to such problems is secondary. . . . Furthermore, there is some doubt in my mind whether Chomsky's contrast between competence and performance may not outlaw the linguistic study of literary texts'.

To put it another way, T.G.G.'s primary concern is not for contextual matters or variation in linguistic use, which are of major interest for the stylistician. The following comments of Turner (1973: 9) express in a simple manner what T.G.G. ignores and what the stylistician is specifically concerned with:

'He [the grammarian] is not interested in the surroundings of language; he does not want to know that I am now in Hampstead and you are in Smiths Falls, Ontario. In this he is like the mathematician who believes that if A or B alone can dig a garden in one hour, they will together finish the job in thirty minutes flat. No pauses for talk, no tangling of forks or argument about who begins at the sunny end enters this schematised world'.

He continues (op. cit):

'For similar reasons, . . . the grammarian is happiest in a world where nuance and detail of real life and real language are subdued'.

But the application of transformational theory to the study of style comprises a number of less obvious but significant theoretical limitations. A major one is the establishment of a parallel between the distinction between surface and deep structure and the dichotomy form-content, on which transformational stylisticians rely in a large measure for their stylistic comments (Ohmann in particular).

A number of dangers attend the assumption of the validity, and the use, of such a parallel. Kintgen [1974] has convincingly demonstrated the non-validity of the parallel in the first place. His basic arguments are that if, on the one hand, one follows the interpretivist school, according to which the semantic relations expressed at the deep structure level are only those related to grammatical relations, whereas information structure [topic-comment, theme-rheme, and markedness] belongs to the surface structure level, linking two surface structures to the same deep structure merely implies that these two sentences have the same grammatical relations, which constitutes too weak a relationship to be really useful. If, on the other hand, one follows the generative semanticists, according to whom the deep structure exhibits and contains all the semantic structure of a sentence, including information and thematic structure, no two sentences can be related to a single deep structure but exact paraphrases. Clearly, such a relationship is too strong to be of any use. Similar comments apply, as seen earlier, to the usefulness of the dichotomy surface-deep structure in translation. On the whole thus, the deep structure level does not seem to constitute a proper basis according to which stylistic variation could be accounted for.

Besides, even if one was to advocate, like Ohmann, that even if weak, the above-mentioned parallel is valid enough to be useful, other considerations which must be taken into account would reveal further difficulties. In the first place, to focus stylistic studies on the parallel between the surface-deep structure and form-content dichotomies is to limit matters of stylistic choice and effects to syntactical alternatives. But clearly, stylistic effects do involve a number of subtler and more refined elements of structure and meaning other than syntactical, and it is a rather indefinite interplay of a variety of formal and semantic components which create style; a clear-cut separation between formal and semantic contributions can hardly be made in reality. It is one thing to say that something said in a specific way could have been formulated in a number of other ways, but this does not, in any satisfactory way, constitute an explanation of style, of why, for instance, the author chose a particular formulation, or of why this one is more effective than [any] other possible alternatives [which might well have to do with expectations met or broken]. This in turn suggests that the principle of the existence of a close interrelationship between form and content is more realistic, more appropriate for stylistic studies at least, than the advocacy of the [relative, depending on the stages of transformational theory and on schools] independence between these two linguistic levels.

Again, concerning stylistic comments based on the dichotomy form-content, a functional dimension has to be reckoned with. In other words, although an active sentence and its passive counterpart constitute approximately equivalent [logically] stylistic variants, the choice of one of these alternatives in a given text will not necessarily be stylistically 'marked', that is to say, it is stylistically 'neutral' in a text whose function is informative, but may or may not be 'marked' in a literary text [textual or aesthetic function] depending on the text as a whole and its other characteristic, formal-semantic features.

Kintgen [op. cit] has pointed out another important restriction concerning T.G.G. and stylistics. A major danger is that the model in its systemacy and high formalism seems to explain linguistic and stylistic phenomena while all it does in reality is represent or describe them graphically. The graphic representation often looks, in its complexity and elaborateness, like an explanation and may too easily be assumed to be so. In fact however, all such a representation does is describe in a rather ingenious manner our intuitions about linguistic structure and some aspects of meaning. But as intuitions about language must precede the construction of the grammar, 'in a very important sense, the grammar can never be more than a restatement of what we as native speakers already know' [Kintgen, op. cit: 822].

Transformational grammar, however hard it may have tried to be so, is no exception, and representations should not be mistaken for explanations. In this sense therefore, T.G.G. is not superior to other grammatical models. Its claims, like the latter's, must be considered at the level of descriptive adequacy. But this subject in all its implications far exceeds the topic of the present work. All that needs concern us here is to stress that T.G.G.'s representations of linguistic or stylistic phenomena must not be mistaken for explanations and that, in this respect, the advantage which T.G.G. might seem to have over other models of linguistic description is illusory.

Another conspicuous flaw of T.G.G. for stylistic studies, from a theoretical point of view, is the limitation of the concept of linguistic competence to grammatical competence, while the other type recognised by sociolinguists like Halliday [1970 & 1973] and Campbell and Wales [1970], and also by Nida [1975 a], 'the ability to produce or understand utterances which are not so much grammatical but, more important, appropriate to the context in which they are made' [Campbell and Wales, op. cit: 247], is totally ignored. This is a serious shortcoming of transformational stylistics. The characterisation of style, particularly poetic, on the basis of grammatical deviance is not particularly useful as Messing [op. cit: 61, 62] has pointed out, talking about an article by Thorne [1965] and one by Levin [1964] on grammatical deviance:

'Lofty general hypotheses about the 'grammaticalness' of poetic style are not very useful. . . I cannot believe that either of these articles makes one optimistic about the direct value of 'grammaticalness' as a powerful searchlight to turn upon poetical language so as to grant us new insights into its nature'.

The two main problems with such analyses of deviance are that on the one hand, they are too unidimensional and tightly bound to matters relating to cognitive meaning, whilst on the other hand, they seem to assume that the grammatical is the only [valid] norm. But surely, the great number of social and metaphorical uses encountered in everyday, ordinary language [the language of idioms is usually metaphorical] spoken by ordinary people strongly point to the obvious fact that people's semantic creativity is not restricted to logical norms. Clearly, the social and the metaphorical constitute as valid norms, and must be reckoned with in one's criteria of acceptability. An adequate comprehensive theory of language, meaning and literature must encompass these very real aspects of the semantic potential of the users of the language. To say for instance, that the sentences ' (i) My pocket told me' (ii) My heart (iii) The sofa (iv) Mon petit doigt

are ungrammatical is merely to state that within the logical norm [concerning the normal state of things] these sentences have no truth value [because pockets and so on do not speak]. Thus the only rule broken by the above sentences is a logical one [at the level of selection restrictions], while if one considers the context and the situation of use, their acceptability must be evaluated at other levels. One can find a number of contexts where [i], [ii] and [iv] are normal, and imagine one where [iii] would be normal, for instance, by analogy with the context of use of the other examples, in a different culture where it would be used by someone to say he knows something he is not expected or supposed to know, while not wanting to say who told him or how he learned it.

For the purposes of stylistic analysis, what is needed thus, is a multidimensional approach where [at least] two norms of acceptability in addition to the logical one are recognised, namely the social norm [relating to (non-) appropriacy of linguistic use (registers and dialects), expectations of writer/reader met or broken, and so on]; and the creative norm [(non-) appropriacy of formal or semantic features, depending on the context of a specific literary work; for instance, according to Thorne (1970: 192-3) students of literature agree that unusual grammatical forms are not necessarily perceived as such in the literary context [poem or novel] in which they occur]. Deviance will

thus be seen in a broader perspective, as the breaking up of expectations set up at one of these three levels rather than as the mere breaking up of logical rules of syntax and selection restrictions. For instance, perfectly normal grammatical language may be perceived as deviant in the context of an otherwise stylised poem [see 'Flying Crooked' by Robert Graves below]. On the other hand, grammatical deviance [in a very special manner] is a norm [at the creative level] in E. E. Cummings' work; in the event of one of his poems failing to exhibit such deviance, the latter would become deviant at the social and creative levels, since its impact would be derived [in part at least] from its breaking up the readers' expectations as set up by previous poems. Grammatical deviance thus, is not very significant studied on its own, and must be seen in the broader social and creative perspective.

One important manner in which stylisticians have tried to use grammatical deviance as a basis for stylistic comments within a T.G.G. framework, was the construction of specific grammars for individual literary works [see Levin, 1964]. The more deviant the specific grammar was found to be, the more deviant the language of the poem. However, as Kintgen rightly points out, an important theoretical difficulty interferes with such studies because since transformational grammars are non-finite devices, any modification or addition of rule to suit a given work will necessarily

generate an infinite number of unwanted strings. This signifies that no scale of grammatical deviance may be established since whichever change is introduced in the basic set of rules will generate an infinite number of ungrammatical sentences.

4.1.2 Limitations of T.G.G. as model of grammatical description

As mentioned earlier, T.G.G.'s limitation to the sentence as larger unit of analysis is a serious shortcoming in studies of style. Stylistic explanation of even the smallest individual unit generally involves the text, passage or poem, as a whole. It is certainly no coincidence that investigations in the application of linguistic methods to the study of literature are usually labelled (whether rightly so or not is another question) 'text linguistics'. In fact, the importance of the text as unit of analysis and description and semantic unit is obvious to any student of literature, and the studies that follow (see below) will help to emphasise this even more strongly (for a discussion on the notion of 'text' see Chapter Five, Section 5.3.2.).

But perhaps the most crucial flaw of T.G.G.'s model of description for stylistic studies is its failure to consider, and thus account for, the major stylistic dimension of lexical choice. This aspect of transformational grammar has been pointed out in Chapter Two, when dealing with the

cognitive meaning of words. In literature the area of lexical choice is perhaps the one where expectations are most frequently broken. Moreover, different words or phrases having almost the same cognitive content often carry totally different stylistic meanings (generally socially marked) and thus create entirely different effects in specific contexts; consider for example 'il parle bien' [normal, correct], 'il cause bien' [familiar or popular]; 'livre' [correct] and 'bouquin' [familiar]; 'voiture' [correct] and 'bagnole' [familiar]; 'enfants' [correct, affectively neutral], 'gosses' [familiar, affectively marked], and 'flos' [popular, French-Canadian use, affectively marked]. T.G.G.'s treatment of lexical structure is limited to the cognitive aspects of meaning as expressed in rules of selection restriction, and in the semantic features which describe entries in the lexicon. As far as stylistic comments are concerned, at the lexical level, T.G.G. will only be able to account for 'logical oddities' such as the famous 'colourless green ideas sleep furiously', which represents but one of many aspects of the use of lexis to achieve stylistic effects.

Finally, as a result of the theory's concentration on deep structure, the T.G.G. model tends to overlook essential features of surface structure which are sometimes crucial [formally and semantically] to the meaning as a whole of individual works. In order to illustrate this, I will now

examine the poem 'Flying Crooked', by Robert Graves. It will be shown that much of the poem's impact is achieved through a contrast between highly regular formal features [rhymes and octosyllabic couplets mainly] and irregularities at other formal levels [rhythmic, syntactical (arrested clauses), and in the patterns of punctuation and 'arrest' at the line-ends] which relates closely to the theme of the poem. The irregularities on the other hand, imitate the butterfly's lurching way of flying, that is, the subject-matter. T.G.G. is also unable to account fully for the kind of deviance which is present in this poem. See plate 4.1 [below] for the grammatical analysis.

		Rhyme scheme	Line-end Arrest- Release
1.	The butterfly, the cabbage white,	A	A
2.	[His honest idiocy of flight]	A	A
3.	Will never now, «it is too late»,	B	A
4.	Master the art of flying straight,	B	R
5.	Yet has -««who knows so well as I?»»C		A
6.	A just sense of how not to fly:	C	R
7.	He lurches here and here by guess,	D	A
8.	And God and hope and hopelessness.	D	R
9.	Even the aerobatic swift	E	A
10.	Has not his flying crooked gift.	E	R

Figure 4.1 The poem, the rhyme scheme and arrest-release pattern

Plate 4.1 Grammatical analysis: 'Flying Crooked' [by Robert Graves]

Figure 4.2 The sentence and clause structure

Sentence structure		Sentence structure/line	Clause structure/line
Sent. 1 [up to line 6]: F (F) F	1. ///The butterfly, the cabbage-white, 2. [His honest idiocy of flight] / 3. Will <never now>, «it/is/too late», 4. Master/the art [of [[flying straight]]], // 5. Yet/has - «who/knows/so well [[as I]] ?» - 6. A just sense [of [[how not to fly]]]: // 7. He/lurches/here/and here/by [guess] : 8. And God :and hope :and hopelessness]. /// 9. Even/the aerobatic swift / 10. Has not/his [[flying crooked]] gift. ///	F - - F - - F (F) - - F F (F) - - F F - - F F - - F	S - - S P AA - - P O ([]) // A P ([]) O ([]) /// S P A A - - A /// A S P O ([]) ///

Figure 4.3 Punctuation pattern

line 1.	-----, -----, line 4. -----, line 7. -----
2.	[-----] 5. --- " -----? - 8. -----.
3.	-----, -----, 6. -----: 9. -----.
	10. -----.

The poem comprises four sentences whose linear distribution, irregular at first [the first sentence occupying most of the first six lines, with one interrupting interrogative sentence in apposition], becomes regular towards the end of the poem [one sentence per two lines from line 7 onwards]. The poem is composed of regular octosyllabic couplets and rhymes [lines 1/2, 3/4, 5/6 etc. .]. The structure of the poem, linguistic and prosodic, reflects its theme; there is an opposition between the straight and the crooked way of flying, and by analogy [see line 5], as suggested by 'who knows so well as I?', of writing poetry, reflected in the syntax by a mixture of colloquial, rather irregular [grammatically], conversation language [lines 1, 2, 3 & 5 mainly] and correct, grammatical, at times literary, language [lines 4, 6 and 7 to 10]; the syntactic irregularity contrasts with the perfectly regular rhymes and octosyllabic verses.

Besides, a pattern of alternation between regular and irregular structures, which enhances the observations made at other formal levels concerning thematic relevance, is also shown in the rhythmic and punctuation patterns of the poem. The rhythmic structure skilfully reflects the subject-matter, and also indirectly, the theme. There is a median caesura which gives the effect of a lurching change of direction in flight. The caesura is suppressed in lines

nine and ten, shifted in lines two, seven and eight to syllables two and three, whereas in lines seven and eight, a second one is added between syllables six and seven, like in an 'alexandrin ternaire'. The lurching effect is thus emphasised in lines seven and eight. As for punctuation [see Figure 4.3, plate 4.1], it is more varied and complex in the first six lines, to become very scarce, regular and simple [only two full stops at the end of lines eight and ten] from line seven to line ten, in parallel to the syntax.

The characteristic feature of the syntactic structure in most of the first half of the poem [lines 1 - 6] is the broken-up, interrupted pattern, which is also reflected in the punctuation. In lines one and two, a subject nominal group is separated from the beginning of its main verb by an appositional nominal group ['the cabbage-white'] and a third nominal group whose clause function is uncertain, but which can be analysed as an appositional element ['his honest idiocy of flight']. The verbal group appears in line three ['will'], to be immediately interrupted by an incisive clause ['it is too late']; it is finally completed at the beginning of line four, and then followed by its object. A second verb for the initial subject is unexpectedly introduced in line five, thus creating an effect of surprise, as all grammatical expectations had been met in the preceding line. Yet this verb ['has'] is separated from its object

[in line 6] by an interrogative sentence. The reader is thus kept in a state of expectation [of the main verb] till line four, and then again [of the object, from line 5] till line six [see Figure 4.1].

A typical T.G.G. analysis, at deep structure level, is unable to account for the irregular, interrupted syntactical pattern, or for the 'patterns of expectation', explained in greater detail below, that derive from such syntax, because ordering of elements is irrelevant at deep structure level, whereas surface structure analysis is given too little importance in the model, to say the least. Within a Systemic framework, the above patterns cannot be accounted for either at deep structure analysis level, where ordering of elements is also irrelevant; but they will be accounted for by a surface structure analysis [at least of the kind described in Sinclair, 1972 and 1970] as within the Systemic school, linguistic analysis at surface level, and thus sequence, is given serious consideration. To be fair, a T.G.G. stylistic analysis could mention NP density at the beginning of the first sentence [three juxtaposed NPs, lines 1 and 2], and complexity [two main VP, interrupting clauses and embedding ['a just sense[*of* [[*how not to fly*]]]']; 'the art [*of* [[*flying straight*]]]']; but these remain rather vague comments hardly seeming adequate [owing to the lack of treatment of the surface organisation of the sentence,

mainly] to account for the way in which such syntax reflects the overall theme of the poem. Systemics, through a more delicate surface analysis (including features of sequence), and particularly through the notion of 'arrest' (Sinclair, 1970), in my view, explains better the relationship between form and meaning that is present here.

There are two types of arrest represented in this poem (see Figure 4.2); there is, on the one hand, arrest at the line-end, when expectations of a verbal or nominal group have been set up, and are either met (release, lines 4, 6, 8 and 10) or broken (arrest, lines 1,2, 3, 5, 7 and 9). A regular pattern of arrest-release on each alternate line is thus broken only in lines one, two and three. On the other hand, as seen above, the other type of arrest consists of free clauses that are interrupted in their normal course by intervening elements of structure, either groups, clauses or sentences [e.g. line 5, 'Yet has - who knows so well as I - ?']; in this poem, thus, the first sentence is arrested twice, by an interrupting clause ['it is too late'] and by an interrupting sentence [line 5] [<< >> & <<< >>> indicate an interrupting clause and sentence respectively]. Note that the interrupting interrogative sentence [line 5], which also creates a line-end arrest, coincides with a point of interest [semantically], as it introduces the suggestion that the poet and his ideas on ways of writing poetry are implied

in the overall thematic interpretation. Grammatical impact seems to go hand in hand with semantic impact here.

Therefore, certain formal features reflect both the subject-matter and the theme of the poem. On the one hand, formal irregularities [mainly syntactic (arrested clauses), rhythmic, and in the line-end arrest and punctuation patterns] imitate the lurching way of flying of the butterfly (subject-matter); whereas, on the other hand, the contrast between these irregularities and other highly regular formal patterns of the poem [rhymes, octosyllabic couplets mainly, and also the higher regularity of the syntax in the last four lines], illustrate the opposition between the 'straight' and 'crooked' way of doing certain things, that is, flying or writing poetry [theme]. It is obvious that the author prefers the 'crooked' to the 'straight' way.

Another kind of 'expectations', this time at the creative level, are in part broken in the poem. A somewhat stylised, literary style [both at the syntactic and lexical level] is expected in a poem, not necessarily in English today, but still perhaps if the poem is in rhyming octosyllabic couplets. The poem however, at the syntactic level, contains a mixture of normal, colloquial language [lines 1, 2, 3 and 5] and somewhat literary language [lines 6 - 10], as seen earlier. At the lexical level, 'here/and here', 'by

God/and hope/and hopelessness', 'the aerobatic swift' and 'his flying-crooked gift', are unusual and of literary standard. Expectations at the creative level may thus be said to be partly met (prosodic level and lexical level to some extent) and partly broken (mainly at the syntactic level); and one can see in this pattern another representation of the semantic contrast discussed above (thematic level).

Here are, to sum up, a list of the aspects of T.G.G. theory which have been found to be, or involve, flaws/problems, as far as studies of style are concerned:

A In Theory:

- [i] the distinction competence-performance, and T.G.G.'s focus on competence (and the consequential ignoring of contextual matters);
- [ii] the non-validity of the parallel between the distinction deep/surface structure and the dichotomy form/content; split between form and content itself seems unrealistic; on the contrary, in practice, they seem to be very closely interrelated and interdependent;
- [iii] a too narrow view of what is stylistic in nature: style does not only apply to surface structure, but to deep structure (that is, meaning)

as well; what a text is about is not
stylistically irrelevant [see Section 5.3];

[iv] the limitation of linguistic competence to
grammatical competence [thus ignoring the
social and creative norms];

[v] attempts to relate several surface structures
to the same deep structure [in order to explain
stylistic choice [at surface level] involve
serious theoretical difficulties; either such
sentences cannot be found [semanticist school]
[because they have to be exact paraphrases], or
those which can be related to a same deep
structure have a semantic link that is too
thin to be of any real significance for
stylistic studies [interpretivist school];

[vi] dangers of modifying or extending the theory
in order to increase its relevance [construction
of grammars of individual poems or addition of
rules; for further justification of this point
see Kintgen].

B. Concerning the model of grammatical description

[i] the use of the sentence as largest unit of
analysis and description [the importance of the
text being overlooked];

- [ii] the lack of adequate treatment of the dimension of lexical choice (e.g. register, dialects);
- [iii] excessive concentration on deep structure analysis, whereby essential features [formal and semantic] of surface structure, involving features relevant at the textual level, are overlooked (e.g. see 'Flying Crooked' above and the notion of 'arrest').

4.2 Systemics, stylistics and translation

The above summary constitutes an appropriate basis on which one may delimit what a theory of language should be in order to be applicable to stylistic studies. Of course, such a theory should possess a good majority of the elements T.G.G. lacks, plus, probably, a few more relevant characteristics. The following extract from Hymes (1964: 11, in Fowler, 1970: 32) sums up the reorientation that is required from T.G.G.:

'There must be changes of emphasis and primacy with respect to a number of traits of thought about language characteristic of linguistics and anthropology in much of this century: (a) the structure, or system, of speech (la parole), rather than that of the linguistic code (la langue); (b) function as warranting structure rather than function as secondary or unattended; (c) the referential function in terms of which the structure of the linguistic code

is usually approached as but one among a plurality of functions; [d] the different functions as warranting different structural perspectives and organisations; [e] the functions themselves to be warranted in ethnographic context, rather than postulated or ascribed; [f] diversity, not universal identity, of the functions of language and other communicative means; [g] the community, or other context, rather than the code, as starting point; [h] the appropriateness of formal elements, and messages, rather than their arbitrariness, to receive primary attention ; [i] in general, the place, boundaries, and organisation, of language, and other communicative means in a community to be taken as problematic. In short, emphasis and primacy of speech over code; function over structure; context over message; the ethnographically appropriate over the ethnologically arbitrary; but the interrelations always crucial, so that one can not only generalise the particularities, but also particularise the generalities'.

This not only sums up the reorientation [mainly sociolinguistic, mainly [again] in a special, Hallidayan [-Hymesian] sense] necessary for stylistic studies, but also for studies of, and practice of, translation. Moreover, the above description also constitutes an outline compatible with a sociolinguistically applicable linguistic model such as Systemics. In fact, the main relevant characteristic theoretical points of Systemics are: [i] focus on speech [parole] as well as langue; [ii] the underlying [theoretical] belief that use and function shape the structure of the linguistic system [from which the belief in the constant interrelationship form-meaning stems]; [iii] discrimination

of a plurality of functions [ideational [experiential and logical], interpersonal and textual]; and [iv] consideration of the functional notion that different texts have various functions, depending on their social context of use. In other words, context [ethnological, social, situational and linguistic] is given equality with logical content, and so is the appropriacy of utterances with their formal acceptability. The most essential notion of all though, within Systemics, is what a linguistic event is used for [its function], which is even more important than the content of the message. In fact, as Fowler [op. cit: 33] points out, it is the central assumption of certain socio-linguistics 'that the grammar of utterances varies lawfully with their communicative function in contexts of situation, or with culturally significant characteristics of speakers or settings'.

The same grounds[both theoretical and practical] on which T.G.G. was found unsuitable for stylistic studies seem to constitute, indirectly, the basis on which the use of Systemics [for such studies] is, or may be, justified. I have, in a previous work, as mentioned earlier, investigated the applicability of the Systemic model to stylistic analysis, and the usefulness of the analysis as a basis for the translation of poetry [for a different Systemic approach to the study and practice of literary translation see Ure, Rodger and Ellis, 1969]. I intend now to give further evidence of

the relevance of Systemics in this field [partly to support the claims and conclusions made above] through the analysis of the poem 'O Where Are You Going?', by W. H. Auden, for which I will propose my own French version based on the analyses [linguistic and stylistic]. Such analyses put in evidence the following points concerning form and meaning:

- [i] A close interrelationship exists between form [grammatical, prosodic and phonological mainly] and meaning [theme and subject-matter]; once the linguist realises the truth of this principle, many an apparently ordinary feature is seen in a totally different light (e.g. congruence between grammatical and metrical boundaries in 'O Where Are You Going?',^[5]).
- [ii] The importance of the text as unit of analysis, and communicative unit (and thus of context). Features are not usually very significant on their own, but rather in their particular relationship with other relevant features.
- [iii] A Systemic analysis permits invaluable insights in the deeper (so to speak) semantic structure of a text [various thematic levels]; for instance, in the poem under study, examination of the nominal groups reveals a semantic inconsistency in stanza three which gives an important thematic clue.

4.2.1 The poem, and a general structural outline

'O Where Are You Going?'

Rhyme scheme

1.	'O where are you going?' said <u>reader</u> to <u>rider</u> ,	A
2.	'That valley is <u>fatal</u> when <u>furnaces burn</u> ,	B
3.	Yonder's the <u>midden</u> whose odours will <u>madden</u> ,	C C
4.	That <u>gap</u> is the <u>grave</u> where the <u>tall</u> return.'	B
5.	'O do you imagine', said <u>fearer</u> to <u>farer</u> ,	A
6.	'That <u>dusk</u> will <u>delay</u> on your <u>path</u> to the <u>pass</u> ,	D
7.	Your <u>diligent</u> <u>looking</u> <u>discover</u> the <u>lacking</u>	E E
8.	Your <u>footsteps</u> <u>feel</u> <u>from</u> <u>granite</u> to <u>grass</u> ?'	D
9.	'O what was that bird', said <u>horror</u> to <u>hearer</u> ,	A
10.	'Did you see that shape in the <u>twisted</u> <u>trees</u> ?'	F
11.	Behind you <u>swiftly</u> the <u>figure</u> comes <u>softly</u> ,	G G
12.	The <u>spot</u> on your <u>skin</u> is a shocking disease?'	F
13.	'Out of this house' - said rider to reader,	A
14.	'Yours never will' - said farer to fearer,	A
15.	'They're looking for you' - said hearer to horror,	A
16.	As he left <u>them</u> <u>there</u> , as he left <u>them</u> <u>there</u> .	A [weaker]

Figure 4.4 The poem: 'O Where Are You Going?'; rhyme scheme and phonological links (in green)

This poem by W.H. Auden is an extract from 'The Orators', published in 1932. What strikes one first is the regularity of its structure (prosodic and grammatical), which are moreover congruent]. It is composed of four four-line stanzas. Each line may be read as having four stressed syllables, and the rhyming syllables (line-end rhymes only) are stressed, except for lines one, five, nine, thirteen, fourteen and fifteen. The caesura is marked whether by the punctuation and grammatical structure (lines 1, 5, 9, 13, 14, 15 and 16), or by the grammatical structure only, i.e. the end of a clause (lines 2, 3 and 4) or the end of a group (lines 6, 7, 8 and 10, 11 and 12). The line boundaries also show perfect congruence with the grammatical boundaries, as each line-end marks the end of a clause or sentence. The punctuation reinforces these boundaries: there are commas, periods or question marks at the end of each line, except for line seven. In the 1931 edition of 'The Orators', the comma is also absent on this line. A semantic explanation for this omission is not difficult to find; lines seven and eight describe two almost simultaneous actions, namely, as soon as 'farer' discovers the 'lacking' he will fall down. No 'arrest' is present in this poem, either at line boundaries (all show release) or at sentence structure level. The resulting effect is that each clause stands rather independent from the others. Each line of stanzas one, three and four, for instance, could be interpreted as consisting of an independent sentence. The sentence structure is also highly

regular [free-bound all through the poem] and suggests normal, everyday speech. Moreover, the contractions [lines 3 and 15] indicate an almost familiar level of language.

The three first stanzas question while the last one answers. The first line of these stanzas is built on a symmetrical pattern: the verse begins with a question, followed by the author's reporting part 'said . . . to . . .'. The fourth, concluding stanza reproduces the pattern of the poem as a whole: its three first lines are similar to the first line of the three other stanzas [utterance, then punctuation separating it from the author's quoting part]. As for line fifteen it plays in stanza four the same concluding rôle as the latter stanza plays in the poem as a whole.

4.2.2 The grammatical analysis [see plate 4.2 below]

Although it looks complicated, the sentence and clause structure [Figure 4.5] is in fact generally quite simple. The fact that in stanzas one, two and three the whole of the stanza [mostly] is rank-shifted into the main free, quoting clause 'said . . . to . . . ' is to blame for the analysis looking complex. But the inner structure of the rank-shifted clauses is simple; the majority of clauses exhibit the normal S P C or O sequence, objects being very few [four altogether]. Only the quoting clauses, 'said . . . to . . . ' show an inversion of the subject and predicator [^Q S C],

together with the interrogative clauses, where the inversion is necessary, and one additional clause, 'Yonder's the midden [[. . .]]' [line 3]. The sentence structure shows, without exception, the normal free-bound sequence, whilst free clauses are in majority in the poem. Apart from the 'O', interrogative clauses, where 'O' is a restrictive exclamatory theme-adjunct, and two clauses with marked adjunct theme [lines 3 and 11] the thematic structure is also characteristically simple, i.e. all clauses have neutral theme.

A similar simplicity also characterises nominal groups; they often consist of a single head-word, there are no pre-deictics or sub-modifiers, and only three adjectives in the whole poem. The only complication shown consists of two rank-shifted clauses in stanza one and two rank-shifted prepositional groups in stanza three.

Verbal groups show no complication whatsoever. Most are in the simple present [10] or past tense [10] and the only modals are future ones [5]. All verbs are active and the majority of them are declarative [21], with only four in the interrogative mood.

Figure 4.5 Sentence and clause structure

Sentence structure	'O Where Are You Going?'	Sentence structure/ line	Clause structure/ line
Sent. 1 {lines 1-4} F ¹ [(F ² FBFF)]	1. [('O/where/are<you>going')] said/reader/to rider, // 2. [('That valley/is/fatal //when/furnaces/burn, // 3. Yonder/'s/the midden [(whose odours will madden,) // 4. That gap/is/the grave[(where the tall return.)'] ///	[(F ²)] F ¹ * [(F B F [()] F [()]]	O[(AAP S)] ¹ -PSC// O[(SPC//ASP// - APS [(SP)] // - SPC [(ASP)]]]
Sent. 2 {lines 5-8} F ¹ [(F ² BBB)]	5. [('O/do<you>imagine',)] said/fearer/to farer, // 6. [('That/dusk/will delay/on your path to the pass, // 7. Your diligent looking/discover/the lacking // 8. Your footsteps/feel/from granite to grass?')] ///	[(F ²)] F ¹ [(B(bound to F ²) B (bound to F ²) B (bound to F ²)]]	O[(AP S)] - PSC// O[(ASPA // - SP0 // - SPA)]
Sent. 3 {lines 9 & 10} F ¹ [(F ² F)] Sent. 4 {lines 11 & 12} F ¹ [(F F)]	9. [('O/what/was/that bird',)] said/horror/to hearer, // 10. [('Did<you>see/that shape in the twisted trees? /// 11. Behind you/swiftly/the figure/comes/softly, // 12. The spot on your skin/is/a shocking disease?')] ///	[(F ²)] F ¹ [(F F F)]	O[(ACPS)] - PSC// O[(P S 0 or OA/// - AASPA // - SPC)]

cont. .../

Figure 4.5 Sentence and clause structure [continued]

Sentence structure		Sentence structure/line	Clause structure/line
Sent. 5 (lines 13 - 16) F1[[F2]] F1[[F2]] F1[[F2]] B B	'O Where Are You Going?'		
	13. [['Out of this house']] said/rider/to reader, //	[[F ²]]F ¹	O[[A]]PSC //
	14. [['Yours/never/will']] said/farer/to fearer, //	[[F ²]]F ¹	O[[SAP]]PSC //
	15. [['They/'re looking/for you']] - said/hearer/to horror, //	[[F ²]]F ¹	O[[SPA]]PSC //
	16. As/he/left/them/there, //as/he/left/them/there. ///	B B (bound to F ¹)	ASPOA//ASPOA

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* F² is rank shifted to 0 in F¹; 'Reader said [[this]] to rider. The number 2 indicates a rank-shifted clause [F²] by opposition to the main free clause [F¹]. Another possible analysis is:

'O where are you going', // said reader to rider // F F
'That valley is fatal // when furnaces burn // etc. . . F B

1.The sign - indicates the continuation of a group or clause, in general, and in this case, in all instances, the continuation of the rank-shifted object.

Stanza	in S	in O	in C	R-shifted
1.	you, h reader, h that valley, dh furnaces, h the midden[],dhq that gap, dh		rider, h the grave[],dhq	the tall, dh
2.	you, h hearer, h dusk, h your diligent looking, deh your footsteps,dh	the lacking, dh	farer, h	odours, h your path, dh the pass, dh granite, h grass, h
3.	that bird, dh horror, h you, h the figure, dh the spot [],dhq	that shape [], dhq	what, h hearer, h a shocking disease, deh	twisted trees, eh you, h your skin, dh
4.	rider, h yours, h farer, h they, h hearer, h he (bis), h	them(bis), h	reader, h fearer, h horror, h	you, h

Plate 4.2 A=Grammatical Analysis (continued)

Figure 4.7 Verbal group structure

stanza and exponents	tense	voice	mood	tr./intr.
1. are going said is [bis] burn 's will madden return	pres. cont. past ind. pres. pres. pres. fut. dir. pres.	A A A A A A A	interr. D D D D D D	intr. tr. intr. intr. intr. intr. intr.
2. [do]imagine said will delay will discover will feel	pres. past ind. fut. dir. fut. dir. fut. dir.	A A A A A	interr. D D D D	tr. tr. intr. tr. intr.
3. was said [did] see comes is	past ind. past ind. past ind. pres. pres.	A A A A A	interr. D interr. D D	intr. tr. tr. intr. intr.
4. said [3 times] will [feel, discover] are looking left [bis]	past ind. fut. dir. pres. cont. past ind.	A A A A	D D D D	tr. intr./tr. intr. tr.

Plate 4.2 A-Grammatical Analysis [continued]

Figure 4.8 Adverbial group structure

stanza	kind	binder	linker	prep.grp.	adverbial
1.	place - time	where[bis] whose when	0		Yonder
2.	- place manner	that	0	{on your path to the pass from granite to grass	
3.	- place place manner manner		0	{behind you in the twisted trees	swiftly softly
4.	place - - time place	as[bis]		{out of this house for you	never there

Plate 4.2 B-Field-tenor-mode analysisA - Field:

a - verbal art: fictional narrative and moral epigram.

b[i]subject-matter: speakers warn traveller(s) against the dangers of intended journey.

stanza one: 'Reader' is warning 'rider' of physical ['furnaces', 'gap', 'grave'] and mental ['madden'] dangers; the latter are semantically compatible with a 'rider'.

stanza two: 'Fearer' warns 'farer' of other dangers which are also semantically compatible with a 'farer' [dangerous, small roads, darkness, falling].

stanza three: 'Horror' warns 'hearer' of dangers which are semantically incompatible with a 'hearer' [imagined sights mainly]; the dangers are in the speaker's mind.

stanza four: Outcome: 'rider' [assumedly] leaves, unaffected by all the warnings; action wins over fear or thought.

[ii] theme:

level one: There is an opposition [expressed at the semantic level e.g. 'reader' versus 'rider'] and simultaneously, some points of similarity [expressed through phonology] between speakers

and addressees; the struggle is between the world of action and the world of thought [fears] or intellectual world.

level two: The conflict takes place between an adventurous person and certain other, more conventional, persons who wish to interfere against his intended journey on safety grounds.

level three: The opposition or conflict takes place within the poet and speakers and addressees are conflicting parts of himself.

B - Tenor:

a - the writer is adopting a rôle of recounter and moralist; thus, declarative mood and past indirect tense prevail in reporting and narrative structures ('said . .', and 'as he left . .'). The moral is [mainly] semantically expressed, in the last line, although the rhythm [the last verse is extremely regular and flat-footed] highly contributes to the meaning.

b - the recounting is in the form of reported dialogue: the speakers ['reader', 'fearer', and 'horror'] adopt a restrictive rôle of a kind of 'interrogative warning' which also constitutes a form of indirect interference against the addressee's intended action [departure on a journey]. The warning is done through questions and statements [on dangers]. Three, overtly at least, different speakers warn three, overtly at least, different addressees,

namely 'rider', 'farer' and 'hearer', in stanzas one, two and three respectively, against misfortunes that might befall them. Addressees only answer back in stanza four, 'rider' answering 'reader' in line thirteen, 'farer' answering 'fearer' in line fourteen, and 'hearer' answering 'horror' in line fifteen. Mood is thus alternatively interrogative and declarative [when stating dangers] in the first three stanzas, and only declarative in the last stanza, and the future modals [stanza two mainly] are motivated by the subject matter [i.e. warning of potential or imagined dangers].

C - Mode:

a - medium : written.

b - genre : fictional narrative and moral epigram in rhythmically regular rhyming couplets, with reported dialogue; quoting structures: quoted part followed by quoting [said + subject + complement]. The rhetorical structure is governed by a 'warning' theme; the first three stanzas thus begin with the restrictive exclamatory theme adjunct 'O'.

c - cohesion : Phonological cohesion is present, expressed in particular in the nouns referring to the three pairs speakers-addressees.

d - moral : The last line is conclusive as regards what precedes, giving the thematic outcome, and the moral implied may be phrased as follows: 'You are afraid, not me, so I leave you to your fears'; or [particularly if the poet is addressing parts of himself]: 'Think of whatever might happen and you never move an inch; so act, and the hell with fear'.

Adverbial groups are also simple, particularly so in stanzas one and four, while they are more elaborate in stanzas two and three which have several [two each] prepositional groups containing lexical elements as well as lexical adverbs [two, in stanza three].

4.2.3 Thematic and stylistic analysis (see field- tenor- mode analysis, plate 4.2)

Foregrounding cohesion is achieved in this poem by the phonology and reinforced by the semantic and grammatical structure of the sentences. The most conspicuous phonological feature consists of three pairs of similar nouns referring to the speakers and the addressees [lines 1, 5, 9, 13, 14 and 15]. These are three groups of two disyllabic words whose initial consonants and terminal syllables^[6] are identical, whereas only the vowels of the initial syllable are different: 'reader'-'rider'; 'fearer'-'farer'; and 'horror'-'hearer', in reverse order in the last stanza. Although highly similar phonologically these groups exhibit semantic differences, if not opposition. The object of a 'reader', 'books' [or any paper] is static, while that of a 'rider', a horse, is dynamic; on the other hand, 'fearer' refrains from action out of apprehension, whereas a 'farer' seeks it; finally, in this context, the things which cause fear to 'horror' have to do with the eyes [shape, figure, spot], while the noun 'hearer' suggests the ears as sense of

perception in focus. Considering semantic versus phonological structure therefore, this analysis suggests that common points and an opposition between speakers and addressees are simultaneously present, that is, some kind of ambivalence.

Similarly, if one examines the nouns referring to the three performers, and those referring to the three addressees, as two separate groups, both a phonological link common to all parties involved (they all end in '-er') and a semantic opposition between the two distinct groups of three nouns are found. A definite semantic link exists between 'reader', 'fearer' and 'horror' (note the semantic gradation between 'fearer' and 'horror') in that they all suggest things of the mind: the intellectuality of a 'reader' (or at least the kind of knowledge he gets is intellectual); 'fears' are thoughts and thus a mental phenomenon, and 'horror' is but an exaggeration of fears. Contrast this semantic link with the one that exists between 'rider', 'farer' and 'hearer'; these words suggest types of action of a physical nature: a horse, travel, and auditory perception. The semantic opposition thus seems to be between the mental or intellectual world and the physical or real world, or between thinking and action (theme). Again, this suggests an ambivalence, that is, a common point between performers and addressees (exhibited in the phonology), but an opposition (exhibited in the semantics).

The context allows one to say that what performers share with addressees is the subject of the dialogue, namely dangers [in stanza one, in 'that valley', 'that gap', the demonstrative 'that' indicates that the topic is known to both 'reader' and 'rider'], while their conflict mainly derives from a different approach to these dangers, one mental [thoughts and fears] and one physical [action and physical encounter]. This suggests the essential conflict in man between his mental and his physical nature, between thinking and doing. Note that this interpretation is derived from the semantic structure of the poem. Given this interpretation therefore, it could well be that the author is addressing parts of himself, namely that the 'mental' dimension in him is in conflict with the [so to speak] 'physical' dimension.

There are also other dual phonological patterns occurring regularly in the poem, as shown in Figure 4.4. In line two of stanzas one and two there are two identical syllables on adjacent stresses: 'furnaces burn' and 'oath to the pass'. Note that they are also semantically linked. In line three of the three first stanzas there are [three] pairs of similar words presenting the same kind, and degree, of phonological link as the pairs in the first lines of the stanzas; they are 'midden' - 'madden' in stanza one, 'looking' - 'lacking' in stanza two, and 'swiftly' - 'softly', in the third stanza. These patterns of semantic

and phonological parallelism emphasise the idea of a dialogue between two parties, and that of a certain ambivalence, as found in other patterns.

Some grammatical features also corroborate this dual pattern. In stanzas one, two and three, there are [three] pairs of rhymes occurring within the same grammatical structure:

	line	
[i] //when/furnaces/ <u>burn</u> //	2	[two predicators within two bound
//where/the tall/ <u>return</u> //	4	clauses with structure ASP]
[ii] /on your path to the <u>pass</u> /	6	[two nouns inside two composite
/from granite to <u>grass</u> /	8	prepositional groups]
in the twisted <u>trees</u>	10	[two nouns modified by adjectives]
a shocking <u>disease</u>	12	

Another, primary, phonological pattern is the rhythm, which contributes significantly to the regularity of the poem. It brings in the Old English tradition [four stresses, of which either two or four [unlike OE three] coincide with an alliterative syllable]: it accommodates easily rhythmic breaks such as the silent ictus after 'tall' [line four]. This simplistic ['folk', 'nursery'] rhythm breaks down suddenly in the last line, thus underlining the [mysterious, decisive, moralising or cynical] impact of a [deliberately] extremely flat-footed line.

The poem is a kind of moral epigram in the form of a fictional narrative. The subject-matter is warnings addressed to some traveller(s) by some speakers against the dangers of an intended journey. In stanza one the warning is done by 'reader' to 'rider', about physical and mental [madden] dangers. Nouns are concrete and precise, and affectively neutral [except for 'grave'], 'valley', 'furnaces', 'odours', 'midden', 'gap', and verbs mainly refer to a state-of-affairs [three instances of 'is'], or to physical processes [such as 'burn' and 'return'], so that it can be said that the first stanza states real dangers, compatible with a 'rider', and that it belongs to the world of reality.

Stanza two, on the other hand, is more subjectively coloured. The verb of mental process 'imagine' in the initial question, semantically dominates the stanza, indicating that the dangers mentioned are possible rather than real ones. The most revealing feature of a more subjective trend or personal view, however, is the switch from demonstrative pronouns which prevailed in stanza one, to possessive ones, 'your path', 'your looking', 'your footsteps', in majority in stanza two. Moreover, nouns and verbs are semantically vaguer and more abstract: 'dusk', 'looking', 'lacking', 'delay', 'imagine', and one metaphor is also present: 'feel from granite to grass' [line 8].

Congruence between grammar and meter is also weaker than in stanza one: the caesura is marked by a group instead of a clause boundary, and the comma at the end of line eleven is absent. The dangers referred to apply well to a farer however: 'path', 'pass', 'footsteps', 'darkness' and 'falling'.

With stanza three we proceed a few steps further into the world of imagination, or more precisely, that of horror. This is expressed in the stanza by an inner [semantic mainly, but also structural] distortion and incoherence. The stanza contains the only indefinite article of the poem, in 'a shocking disease' [line 12], and also two of the three only adjectives of the poem, that is, 'twisted', and 'shocking', and two of the four lexical adverbs, which are in fact the only manner adverbials of the poem [except for 'from granite to grass'], that is, 'swiftly' and 'softly'. The dangers referred to are incompatible with a 'hearer', the addressee in that stanza, since they refer to visual perceptions: 'bird', 'shape', 'figure', 'spot', 'twisted trees'. Lexis also expresses uncertainty of perception: 'shape', 'figure'. These dangers seem real to 'horror', the speaker, but not to 'hearer', as revealed by his answer in line fifteen: 'They're looking for you'. Note also that all the clauses in stanza three are free.

Stanza four provides the answers to the main questions formulated in the preceding stanzas, and the conclusion of the story or moral epigram. The outcome of the story is that 'he' leaves on his journey, realising that fears are a hindrance to action; this represents a victory of the [so to speak] 'physical' world over the 'mental' world. The decisive tone of the stanza, expressed in the short straightforward answers, the predominant monosyllabic words and, in particular, the markedly scanned rhythm of the last line [which in fact contains but monosyllabic words, each of which, moreover, stands for an independent group in the clause structure], suggests an abrupt, remorseless departure, without weighing the pros against the cons. 'He', or 'rider' [assumedly] is determined in his decision and thus, the moral may be said to definitely favour action and facing up with whatever difficulty one may encounter on the spot, rather than the anxiety-ridden attitude of not moving for fear of what 'might' happen. Line sixteen ['As he left them there, as he left them there'] also suggests not only disapproval of the latter attitude, but abandonment of people who encourage, or entertain in themselves, such an attitude.

The theme of the poem is already abundantly clear from the above discussion. At one level, there is a conflict between an adventurous person on the one side and certain other persons who are trying to interfere against the

former's intended journey on safety grounds. After closer scrutiny however, the theme is revealed to be deeper, relating to a basic conflict in human nature between thinking (including 'fearing') and doing; 'rider', 'farer' and 'hearer' represent the world of action or the 'physical' world (mainly to be taken in the sense of contact with the real world) and 'reader', 'fearer' and 'horror' represent the 'mental' world; also implied is a contrast between the former's readiness to face up to any problem that comes up and the latter's extremely limiting, fearful attitude. At another thematic level, the conflict may be seen as taking place within the poet, speakers and addressees being then conflicting aspects of himself.

At the interpersonal level, the author is adopting a double rôle of recounter and moralist, which justifies the declarative mood and past-indirect tense which prevail in the reporting and narrative structures (mainly 'said . . . to . . .'). The rhythm, as we have seen, contributes significantly to emphasising the moral in the last stanza. The recounting is done through reporting structures and the story is in the form of a dialogue. The three performers (in stanzas one, two and three respectively) adopt a restrictive rôle of warning, through questions and statements concerning dangers that might threaten the addressees during their journey. The three first stanzas question and the last one provides the answers. 'Rider'

answers 'reader' in line thirteen, 'farer' answers 'fearer' in line fourteen, and 'hearer', 'horror' in line fifteen. Accordingly, mood is alternatively interrogative and declarative in the first three stanzas, and only declarative in the last stanza. As for the future modals [in stanza two mainly] they are justified by the subject-matter, that is, the warning against potential or imagined dangers.

The reported dialogue is arranged in rhythmically regular, rhyming couplets whose quoting structures consist of a quoted part followed by quoting ['said . . . to . . .'] which is again followed by a much longer quoted part. In general, the rhetorical structure is governed by the 'warning' theme; the three first stanzas thus begin with the restrictive, exclamatory theme-adjunct 'O'. Apart from the latter, and two other adjunct-theme clauses ('Yonder's the midden ([])'; and 'Behind you swiftly the figure comes softly'), the thematic structure is simple, being neutral throughout, as noted earlier. A form of phonological cohesion present in this poem has also been described above. As regards the last, conclusive line, note the tonic accent falling on the last syllables of the clauses [thére] and the comma placed in the middle of the line, which reinforce the grammatical boundary [clause end] and emphasise the decisive tone in that line.

4.2.4 The translation of the poem

Looking now at the poem from a translator's point of view, the first task at hand is determining, on the basis of the above analysis, which original elements, grammatical, phonological, semantic and prosodic, should be preserved or neglected [on account of their importance or lack of significance respectively], or rather, should I find equivalents for as a matter of priority. A crucial notion to keep in mind is that 'function' matters most. It is not that important whether an alliteration with the fricative /f/ finds as its RL equivalent the same or another consonant; what is essential is to achieve similar RL effects, or effects that function in a similar manner. The purpose of the stylistic and grammatical analysis was to discover patterns, regular and irregular, and the structural organisation [semantic and formal, in their interrelationship] in order to grasp the communicative structure of the poem. The ultimate aim of the translation is thus not necessarily to reproduce the same patterns, but in some cases, to replace them by similar or different ones whose function within the RL matrix and socio-cultural context is similar to that of the original patterns in the SL. Equivalence is then established at the functional level, which is an abstraction from the SL and RL expressions, rather than at the [strict] level of the expressions themselves [for further theoretical discussion see the next chapter, Section 5.3 in particular].

The first problem of equivalence in the translation of this poem into French is between genres in different literatures. The French equivalent of Old English verse is the decasyllabic grouped by assonance in 'laisses', which is totally different in effect. There is no ballad ['folk', 'nursery'] literature of any similar effect in French, and in sociolinguistic terms, the closest equivalent would be the octosyllabic 'chanson'. But as the meaning of an average twelve syllables English verse can hardly be fitted into eight syllables in French, whereas extending the English verse to sixteen syllables, or two lines, in French would demand too much stretching, the octosyllabic 'chanson' does not seem appropriate here. I thus contented myself with a relatively regular number of syllables per line [from 11 to 14, except for line 6, 18 syllables^[7]] and respected the caesura as far as possible as well as the original linear structure, to achieve some degree of linear, and [to some extent] rhythmic, regularity.

As for the phonological link [between pairs and between the six words] exhibited in the three pairs of names referring to performers and addressees, its importance is beyond doubt. The semantic element involved is also equally important, and I attempted to keep both, but found it difficult to gather French equivalents presenting both the phonological and semantic requirements at the same time.

These problems and the fact that the phonological link within individual pairs is stronger than between the six names, led me to keep the likeness between pairs but to neglect the rhyming unity between the six names. The semantic links, with some slight variations [ultimately negligible since the phonological unity is prior in importance to getting the exact lexical equivalents] however, is also preserved: 'lecteur'/'voyageur', 'anxieux'/'audacieux', and 'horreur'/'auditeur'. Note that the use of the article is compulsory in French, which somewhat reduces the phonological effect.

The other phonological features were also respected whenever possible, but in some cases, the translation entailed a switch to a different syntactical structure or category. In line seven for instance, the parallel words were two nouns in English ['looking', 'lacking'] and become a noun and an adjective in French ['fouilleur', 'faillie']. In one case the likeness is reduced to an ordinary rhyme [line 6, 'path', 'pass'; 'sentier', 'défilé'], whereas in another one I had to abandon the phonological symmetry to keep but the semantic link [line 3, 'furnaces burn'; 'brûlent les fourneaux'].

A different consideration in the translation of this poem concerns the use of the familiar 'tu', or the more polite and formal 'vous'. I opted for 'tu' because of the

normal everyday type of English which prevails in the poem, and partly because it is more appropriate if 'he' is addressing parts of himself.

The metaphor in line eight has been adapted in French, in more general terms ['granite'/'pierre'] in a manner which, it is hoped, reproduces [approximately] the original image. Note the alliteration with the fricative /f/ and the plosive /g/ in English achieved in French by the plosive /p/.

As emphasised earlier, the thematic adjuncts 'O' are quite important in that they endow the questions with an exclamatory, restrictive and affective connotation and recur in the initial line of the three first stanzas. 'Ô' in French has a similar effect; but for phonological reasons (Ô Oû) I could not use it in the first stanza. I opted for 'Oû' only which also graphically starts with 'o', and added 'donc' at the end of the question to express the emotive and restrictive overtones. I had considered another alternative, that is 'mais' for the three instances of the English 'O', but rejected it as 'Ô' seemed to me to possess greater emotional impact.

The binders in stanza one have some importance, mainly in that they occur in the middle of the lines and mark both the caesura and the grammatical division between clauses. This was easily [almost naturally] reproduced in

the translation. I also kept the three occurrences of 'is', which were previously found to indicate reality and objectivity, which characterise that stanza.

Finally, in the last stanza, a number of formal features bear special relevance to the meaning of the stanza and of the poem as a whole, and required particular attention in the translation, mainly talking about the shortness and colloquial tone of the answers, monosyllabic words [in line 16 in particular] and the rhythm of the last line. Concerning the latter feature in particular, my version of line sixteen contains only monosyllabic words [except for 'quitta'], respects, of course, the caesura [including the clause boundary] and the division of the line into two groups of an equal number of syllables [two groups of 7 instead of 5 as in the original], but most of all, has a highly regular, markedly scanned rhythm. Note also that, owing to their significance for the interpretation of the poem, the pronouns 'he' and 'them' in line sixteen had to figure in the translation.

Où Vas-tu Donc?

'Où vas-tu donc? dit le lecteur au voyageur,
 Cette vallée est fatale quand brûlent les fourneaux, A
 Il est là un fumier dont les relents rendent fou,
 Cette fissure est la fosse où retournent les héros'. A

'Ô songes-tu un peu, dit l'anxieux à l'audacieux,
 Que le crépuscule s'attardera sur ton sentier vers
 le défilé, B
 Que ton regard fouilleur découvrira la faille
 Que tu sentiras ton pied passer de la pierre au pré?' B

'Ô quel était cet oiseau, dit l'horreur à l'auditeur,
 As-tu vu cette forme dans les arbres tortueux? C
 Vivement derrière toi l'ombre surgit doucement,
 Cette tache sur ta peau est un mal odieux?' C

'Hors d'ici' - dit le voyageur au lecteur, D
 'Ça ne t'arrivera pas' - dit l'audacieux à l'anxieux,
 'C'est toi qu'elles cherchent' - dit l'auditeur à
 l'horreur, D
 Et sur ce il les quitta, et sur ce il les quitta.

Chapter Five - A Sociolinguistic Theory of Translation

One point made in the introduction must be brought back to the fore at this stage. The emphasis in the choice of examples in this work has been on literary texts. However, since sociolinguistic considerations are not limited in their bearing to the latter category of texts, but are, rather, potentially relevant to any linguistic communication, despite its main concerns and emphasis, the theory which derives from the present research is not strictly limited in scope and relevance to so-called 'literary texts'.

The sociolinguistic aspects of language are no doubt rule-governed, in the same way that its cognitive and linguistic aspects are. But as we are dealing in this case with variety rather than commonalty, these aspects far more resist systematic circumscription. The task at hand is, firstly, that of defining categories of social dimensions and variables which have bearing on the meaning and stylistic characteristics of texts, at the author's, and translator's and readers' levels, in their respective sociolinguistic background. A nonetheless important task is to explain the process of translation through an explanation of the interplay of influencing elements at work within some of these categories, between the world of the author and his text and that of the translator, his translation and his readers.

Overall, a sociolinguistic theory of translation seeks to elicit, in the clearest and most precise possible manner, what in the process of translation is social-specific in nature, and the principles and rules of translation theory that govern these aspects.

The first two sections of this chapter deal with social categories and dimensions and the rules and principles which relate to them as far as translation theory is concerned. The last sections discuss other aspects of translation theory and the translation model. Here, the term 'social' is used to cover a wide range of phenomena investigated by a number of fields of study other than sociolinguistics, mainly talking about history (economical, political, social, religious), ethnography, anthropology, ethno-semantics, ethno-methodology and comparative literature.

5.1 Sociolinguistic dimensions and variables and the unilingual and interlingual communication acts

Meaning is a property of a language. This is the natural, implicit conclusion to the previous chapters, a theory which derives largely from the views of the late J.R. Firth and is closely related to Whorf's and Sapir's positions. It constitutes the most realistic approach to meaning for translation. It implies that the meaning of a text is rooted in the socio-cultural environment of the

language in which it is written, and consequently, that certain aspects of this environment have some bearing on its interpretation, and in fact, on the impact of any linguistic communication taking place within it.

Ager [1976: 285-97], in an article on methods of description of situations, analytical processes applicable to the description of texts [uttered] in communication situations and the use that could be made of the latter, gives a useful list [below] of the relevant sociolinguistic factors [taken from Hymes, 1967, as summarised in Robinson, 1972: 34], a taxonomy of variables and dimensions of situations [taken from Crystal and Davy, 1969, which also reflects the work of Labov [e.g. 1966]], and a three-part model [taken from Sprott, 1958: 9] on the basis of which he builds a clear, brief and comprehensive picture of the act of communication, as shown in Figure 5.1 below. An alternative model, as comprehensive but less concise, is found in Halliday [1978: 67]. Basically, factors, dimensions and variables are the same in both models. Halliday's, however, is accompanied by a three-part framework of description [field-tenor-mode] related to his functional grammatical model, and which can be most useful for the situational analysis of texts to translate.

[1] Factors involved in linguistic communication situations:

setting or scene

participants or personnel

ends as (a) objectives or (b) outcomes

art characteristics

key

instrumentalities, both (a) channel and (b) code

norms of interaction and interpretation

genre

[2] Variables/dimensions:

1. time of production of the utterance
2. the geographical and social origin of the author
of the utterance [dialect variation and social
dialect]
3. the individuality of the author - that is, those
biological constraints which condition his preference
for the use of certain linguistic forms in all the
languages he uses.

'The three variables above can be regarded as conditioning variables - that is, as features of the situation which are not open to conscious variation by an author, unless he is making deliberate use of parody. These variables also condition all the utterances of a particular author whereas those which follow affect only a particular text or utterance'.

[Ager, *ibid*: 288]

4. the singularity of the author - that is, those personal preferences, whether recurrent or not, whether conditioned by upbringing and experience or by the linguistic sophistication of the author, which permit identification of a text as being by that specific author.

5. the author's intention; closely related to the concept of function; it has to do with whether he wants to persuade, move, reflect upon a subject, inform, please etc. . .

6. the author's view of the ideal recipient of the text. This variable has to do with the relationship between the author and the person(s) for whom he is producing the utterance. The three main aspects of this relationship are subdivided as follows by Ager [ibid]:
 - (a) the social relationship of the author and the recipient (superior/inferior), degree of acquaintanceship, age relationship etc. . .]

 - (b) the occupational relationship (shop assistant/customer; dentist/patient)

 - (c) the degree of participation in the speech event as between the author and

the recipient [i.e. one-to-one conversation, versus a broadcast talk or public lecture, the extent of feedback is at stake here].

7. the medium

8. the subject of the text

9. the genre

[3] The three part model:

Participants, context and interaction; again with variables defining/determining power, but expressible in terms of group membership, rôle relationships, and comparison/contrast.

Halliday's field-tenor-mode model is relatable to this one, but groups the various dimensions and variables differently.

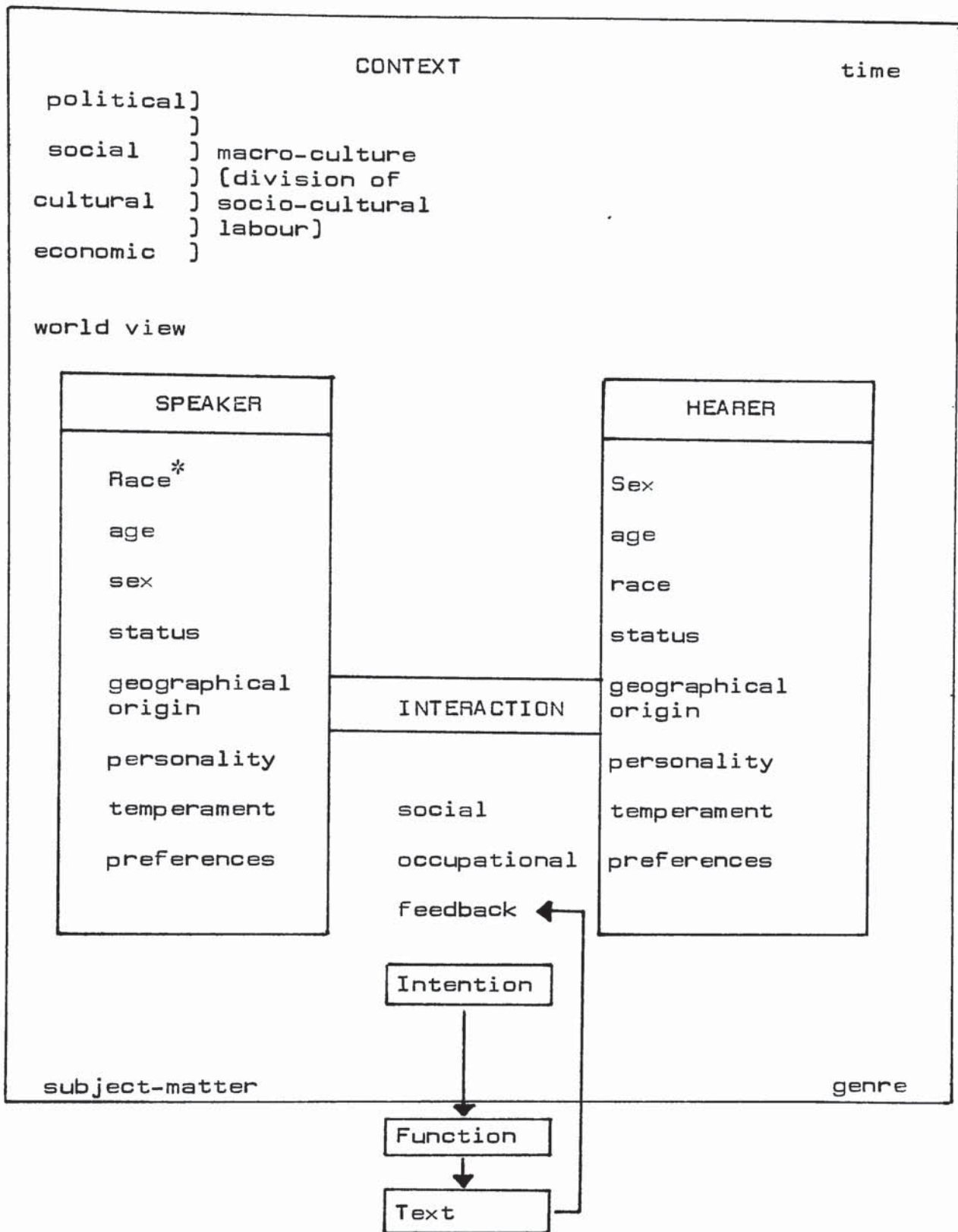


Figure 5.1 The unilingual act of communication

* variables are listed in random order

In its simplest form the act of unilingual communication comprises a linguistic interaction [text] between an hearer [reader] and a speaker [author]. The two participants use a common language which implies that they also share the same, or a similar^[1] macro-culture and world-view, although for the written medium the time dimension may bring in discrepancies at this level between speaker and hearer. Whilst the actual features of the text transmit their meaning through the lexico-grammatical, phonological and stylistic structure, the contextual aspects of the text's meaning can be described in terms of features of the participants' background, relevant macro-cultural aspects, time setting, genre, and the social and occupational relationships which characterise the interaction between speaker [writer] and hearer [reader]. Such description may be carried out within Sprott's three part model, or better still, within Halliday's field-tenor-mode model, where features of each level are also relatable to actual choices in the three main functional components of the grammatical system.

Factors and variables of the context of situation impinge on the logical meaning of the text itself, adding subtle semantic screens over the basic message it contains. It is not indifferent to the meaning of a text whether it dates from the 13th or 17th century, whether its author was a clergyman or an actor, that the redaction of the text coincided with important political, social or historical events, that its genre is usually categorised in a specific

manner by literary historians, and so on. Of course, all these factors are not necessarily relevant all at the same time in a given text, but some of them are likely to be so. And these are bound to affect the comprehension and general reception of the text. It will also make a significant difference whether the reader is an uneducated working-class person, an aristocratic literary figure, or an American black of Harlem. Psychological factors such as personality, temperament, and preferences also play a rôle, but are far more difficult to account for objectively owing to their very nature.

At the interpersonal level, on the other hand, a mother-in-law does not address her daughter-in-law and her own daughter in the same manner (and there are, obviously, cultural variations too); nor will she talk about the same things, or receive the same kind of feedback. Similarly, a doctor speaks differently to his patient, another doctor, a nurse, or the parents of a patient (occupational variable). And the tone, mode and field of discourse of a teacher addressing his pupils (superior/inferior social relationship) will differ from those of the language of a pupil speaking to his teacher. Also the function of the text, derived from the intention of the speaker (author), has a crucial influence on the speaker's choices at several other levels of the context of situation and of the lexico-grammatical structure (see Sections 5.3 and 5.4).

A distinction [my own] has been made in Figure 5.1 between a world-view [Sapir-Whorf hypothesis], including thought patterns, beliefs about and interpretation of the world, and patterns of behaviour, which relate mainly to the social and cultural aspects of the macro-culture, and the actual political, economic, social and cultural structure and history of a people. There can be no doubt that speakers of the same language do share, without exception, consciously or unconsciously, a similar world-view; but as regards the individual's knowledgeability concerning the various other aspects of the other macro-cultural dimension, there exists a wide variation among speakers of a given language, depending upon education, social class, and sub-cultural group mainly. The total culture-specific information concerning a people belonging under these aspects forms part of a common cultural background for the people in question; but as it mostly has to be learned, unlike a world-view which is implicit^[2], conscious knowledge of this information is by no means uniformly shared by the members of the cultural, linguistic group.

Borrowing Putnam's [1978] terms concerning the phenomenon he calls 'the division of linguistic labour', similarly, one can make a distinction between the labour which consciously possess their socio-cultural background, and the labour which do so only to a limited extent.

Note that the distinction must be made at various distinct levels [economic, social etc. . .] and that it will be more a matter of relative differences in degrees rather than radical gaps. The theory may be labelled, in parallel to Putnam's, 'the division of socio-cultural labour'. It brings in a further source of interference in linguistic communication.

For instance, given a text in which most of the impact is due to historical or political allusions, the latter being beyond the reach of a certain lower-class worker, but within easy grasp of a certain university teacher, the two readers do not have equal ability to appreciate the text fully. On the other hand, the twenty-year-old son of the worker, living in an era of compulsory education and high development in technology and communications [radio-T.V.-press], while belonging to the same social class, is more likely to understand the allusions. Considering, besides, the cultural variable, which includes for instance literary and art history, it is clear that knowledgeability at these levels has a great deal to do with education, through reading and erudition, or specialisation, and is strictly limited to a very small fraction of the population. In other words, owing to the 'division of socio-cultural labour', there are inequalities within the same sociolinguistic community in the individuals' aptitude to understand texts produced in and for that community.

In unilingual communication, therefore, one can distinguish two main sources of interference: (i) personal [age, sex, social status, race etc. . .]; and (ii) macro-cultural [including the time variable and the 'division of socio-cultural labour'].

The major difference between unilingual and interlingual communication [in translation] obviously is the difference of linguistic code, and the implicit macro-cultural switch [world-view and other aspects], between the author and the receptors. In the case considered here, that is, of the written medium and a translator fluent in both source and receptor languages, the process of translation consists of two interrelated processes of unilingual communication in two different languages, where the translator is receptor and author in turn, whereas both his rôles are restricted as compared to the same rôles in normal unilingual communication. He is a restricted receptor in that he 'receives' the text with the purpose of reproducing the communication in a different language, and he is restricted as an author in that the new text he creates has to be a faithful reproduction of the original SL text. In a sense, he is but an intermediary, as the real purpose of the whole process is to make communication between SL author and RL receptor possible despite the language gap. But on the other hand, he is a

crucial participant in the process, as without him, it would be altogether impossible. In whatever way one looks at it, the translator must bear the burden of the two poles between which he stands, i.e. the source and his public.

Deriving from the model of unilingual communication in Figure 5.1 above, the model of interlingual communication or translation [written medium], may be schematised as in Figure 5.2 below; it represents all the dimensions and variables that are involved in the process of translation and from which the wide range of translation problems stem.

The SL act of communication implies, generates and determines the RL act of communication. In the SL communication the translator acts as receptor, and his rôle and performance as author in the RL communication act is determined by his rôle and performance as receptor within the SL. The labels speaker and hearer have been dropped because I am considering here written texts only. For the same reason, feedback is non-existent. Within the SL act of communication, the 'intention', which determines 'function', is that of the author; and given the determinant relationship between the SL and the RL communications, at the RL level the 'intention' still ought to be that of the original SL author, or a functionally equivalent one.

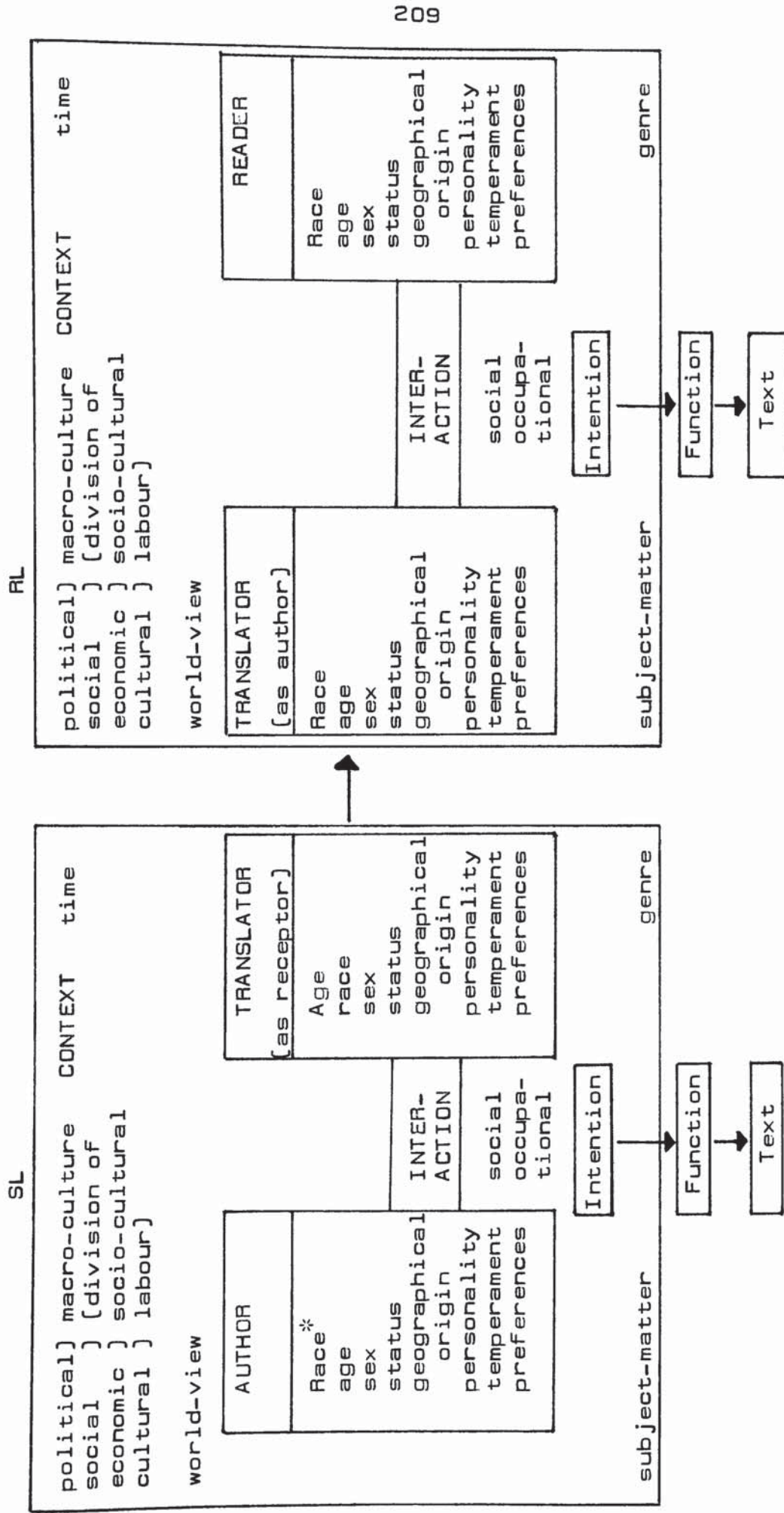


Figure 5.2 A model of the translation process

* variables are listed in random order

The time setting and the genre may differ; as for subject-matter, in overall thematic terms at least, it ought to remain the same in the RL, as it was in the SL, text, except for inconsequential, and/or motivated, alterations. The features of the 'social' and 'occupational' variables in the RL communication should normally remain those intended by the original author in the original text.

Ideally, none of the translator's background personal variables should be allowed to stand between the original text and the RL readers; but in real terms, despite the translator's conscious efforts to avoid this, or owing to his wrong views on the duties of the translator, these variables may affect the translation to a certain extent.

As for the macro-cultural variables, it must be stressed that even though the transmission of the original takes place within an RL context, the translator as transmitter is affected by the SL communication act, of which he is an essential participant, and that it is his duty to reflect the SL features of the communication in SL macro-cultural terms, to the extent that this is possible, of course, depending upon affinities or clashes that exist between features of the SL and RL macro-cultural backgrounds. It should be clear that the model does not imply, or wish to suggest, a complete transfer from L_1 text to L_2 text; and the arrow joining the two communication acts is intended as

a reminder that the entire RL communication act (including the RL text) is highly determined by the features of the SL act of communication (of which the SL text and its features are a crucial component) (see Section 5.3.3).

The main source of clashes between author and reader in the interlingual communication situation, in addition to those involved in the process of unilingual communication, is the difference of macro-culture. All sets of culture-specific information, that is, interpretation of events, beliefs, patterns of behaviour and thought, presuppositions, and other social, political and other information, which coincided for speaker and hearer in the previous model, are now different. Interference is thus greatly increased, let alone the fact that an intermediate receptor and his product, the translated text, are introduced between author and source-text, and RL reader. In the context of a sociolinguistic theory of translation, and of the views on meaning it derives from, every translation is a 'creative treason', to borrow Escarpit's expression (1960: 112), because it artificially removes the text from the background in which it is rooted, for which it was written, to re-implant it in alien grounds. One of the most significant losses implicitly involved is that of the sense of familiarity.

We have seen earlier how variables of a personal or macro-cultural kind affected communication in the unilingual setting; it is not hard to see how much more manifold and complex problems of communication will be in the interlingual situation. These problems can be best looked at within the framework of the three principal stages of the process of translation, namely, the understanding of the original, the confrontation of the two linguistic structures and macro-cultural backgrounds, and the reproduction of the original within the new matrix.

The total meaning of a text is composed of an interwoven ideational, interpersonal and textual structure at the lexico-grammatical level, plus the additional relevant information provided by the context of situation. Ideally, grammatical and stylistic analyses (see Section 5.3 for an illustration of what is meant by stylistic analysis) and a situational analysis should provide as full an understanding of the text as is possible to get. The conditions for the felicitous performance of this preliminary inquiry, however, are not always present, owing to certain factors which may be at work at the level of some of the variables. A text may contain certain information that is beyond the translator's knowledge (division of socio-cultural labour); he may misinterpret the text by superimposing ideas or semantic levels which are not present in the text or context itself (psychological variables); on

the other hand, there may be too wide a diachronic gap between author and translator for proper information concerning certain details of the text to be readily available [time variable]. These are but a few examples of the limitations which may face the translator at this initial stage.

Potential obstacles during the second stage, i.e. the confrontation of the two linguistic matrices and socio-cultural backgrounds, are so numerous and varied, and often untacklable, that it is impossible to give more than a faint idea of their range and amplitude. At one extreme, for instance, one may have a situation where the two linguistic cultures are very close in time [same century or decade], or where a chronological gap is present but entails no serious problem, where the author's and the translator's aspects of the personal variables show affinities, and no significant clash of literary genre or political, or other aspect of, history is involved, which dangerously seems ideal, but where subtler, more irreducible differences are present, as far as the two peoples' world-views are concerned, for example. Differences at this level are often embedded in the very grammatical structure of the language^[3] and may bring almost insurmountable problems of translation.

At the other extreme, translation between languages which are very close at the macro-cultural level of a world-view, perhaps even closer geographically, such as French [of France] and English, will involve different, but as perplexing and challenging problems. These languages contain similar lexemes having evolved in different socio-cultural contexts, and their social, political, economic, religious and literary histories, even though they unfolded in parallel, did so in different directions. Despite overall, often superficial, resemblances, in the detail of the macro-cultural structure there will be marked discrepancies. Consider for instance the French and English legal systems, in which domain translators require legal, more than translation, training.

Problems at the third stage of the translation process arise mainly from the fact that limitations in the translator's choice of equivalents do not only generate from the original text and its socio-cultural background, but also from the [various] receptors' needs and expectations. Considerations of appropriacy, naturalness, and of the version recapturing the life of the original and thus sounding itself like an original have their place here. The greatest burden for the translator at this stage is the need 'to satisfy both his customers'; in other words, he must keep a balance between his duty of faithfulness to the original, and the necessity of approaching the intended

reader as he expects, or needs, to be approached. Needless to say, the task is not easy. Typical questions are: should the original Hopi [let us say] structure, which carries a unique semantic perspective at the world-view level, be imitated, or adapted to English syntax, thus sacrificing semantic aspects of the original for the sake of naturalness; or, are we translating a poem for students of literature or for the common reader?

Every person, speaker [author] or hearer [reader], is both a unique individual [temperament, age, personality etc . . .] and a cultural stereotype [world-view and macro-cultural variables], in the sense that he was born in a specific country, at a certain time, brought up and conditioned according to the rules of his social milieu, and was given a certain education, and so on; and all these factors are determinant in a person's responses to various situations, events, and phenomena. That is why Americans share certain types of reactions and expectations in specific situations, which differ from those of Arabs in similar situations. It also justifies the existence of subcultural variations, on a personal, social, and diachronic scale mainly. Variations in the receptors' reactions thus occur within two main dimensions: [i] the personal dimension and [ii] the broader, macro-cultural dimension. The [related] variations in expectations [taken from Nida] are listed in Chapter One, Section 1.4 .

To conclude, three more sources of interference for interlingual communication must be added to those found to be relevant in unilingual communication, namely, 1. the switch of macro-culture involved in the switch of linguistic code; 2. the switch of linguistic code; and 3. the intermediary rôle of the translator between the source and the receptors.

5.2 'Relativity of meaning assignments' and the three-dimensional critical approach

In the above unilingual and interlingual communication models, one important, implicit view concerning meaning is that of indeterminacy. Here the term 'indeterminacy' has dual theoretical implications. It involves, to some extent, Quine's thesis of indeterminacy, the most radical, according to which there are for a given text a number of possible translations, whereas there is no sure way of deciding which among the available set of alternatives, is the most appropriate. Secondly, it implies Tymoczko's thesis of 'the relativity of meaning assignments', far less radical than Quine's thesis, and with which I am more specifically concerned, which claims that for each sentence there is more than one possible meaning assignment, and that the decision as to which of these is the correct one cannot be made on semantic (in the cognitive sense) grounds alone. Sociolinguistic, situational factors and circumstances constitute the relevant, decisive criteria.

The two theories derive from a similar perspective on meaning, but are not equivalent, as Tymoczko emphasised [1978: 42-3]. Quine's thesis implies that meanings are absolutely indeterminate with respect to our system of rational knowledge. Tymoczko explains further [ibid]:

'His argument [Quine's] presupposes, at least, that there are no correct mental theories in anything like the sense in which there are correct physical theories. But assigning meaning to a language, correctly, is relative to assigning correct beliefs to its speakers, for example. Since the latter task cannot be accomplished, the former cannot'.

For Tymoczko however, meanings are indeterminate, but only relatively so; in other words, meaning can be much further specified towards, or up to, a [nearly] correct level, through knowledge about the speakers, their environment, their society, and their systems of beliefs, without which, Tymoczko stresses, a theory of the semantic structure of a language is incomplete. In his view, such is also the case for a theory of translation [ibid : 43]:

'Progress in translation theory depends on progress in linguistics; indeed a relatively autonomous linguistic theory of translation might be possible. But such a linguistic theory would be only a part of translation theory, not all of it'.

He favours, it is clear, a sociolinguistic theory of translation, where rigor is not only shown at the linguistic, but also at the social, level, and that is what Halliday, Labov, Ager, Sprott, Firth, Davy and Crystal, and many others are contributing to. He sums up his views as follows [ibid: 36]:

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'Our conclusion, then, must be that the states of the special sciences directly influence our choice of meaning assignments to a language. What a language can mean depends upon the environment of the language users - and what that environment is like is a question to be settled, by and large, by the sciences'.

Tymoczko gives the following formal representation of his theory, which constitutes the first basic principle of a sociolinguistic theory of translation [ibid: 33]:

'The thesis of relativity of meaning assignments states that for any given meaning assignment M_1 to a language or body of discourse there is another M_2 and that this pair has the characteristics:

- (i) for certain sentences 's' under consideration, $M_1[s]$ and $M_2[s]$ are different semantic structures
- (ii) the correctness or incorrectness of these meaning assignments cannot be judged on semantic grounds alone'.

A corollary thesis to the above, which could be labelled the thesis of relativity of translation, may be formulated as follows:

For any SL sentence or body of discourse 's' under consideration with meaning assignments M_1 and M_2 [which pair has the above-mentioned characteristics], there are a number of possible translations ' RS_1 ' ' RS_n ', each with RL meaning assignments RM_1 and RM_2 , the characteristics of the latter pairs [RM_1 , RM_2 and RS_1 , RS_n] being:

- [i] RM_1 [RS_1 RS_n] and RM_2 [RS_1 RS_n] are different semantic structures.
- [ii] The correctness or incorrectness of these meaning assignments cannot be judged on semantic grounds alone.
- [iii] Similarly therefore, the correctness or incorrectness of the translations [RS_1 RS_n] cannot either be judged on semantic grounds alone.

A second basic principle of a sociolinguistic theory of translation, which mainly has to do with the attitude of the translator in the whole process of translation, is derived in part from the erroneous assumption concerning competence shared by many native speakers, that one has a perfect mastery of one's own language, which Valesio [1976: 37] calls 'the ideology of nativism', and describes as 'the conviction [of the speaker] that his language is completely transparent to him'. Implications of this ideology are manifold, but the principal ones are related

to the belief that native speakers' intuitions, and semantic and grammatical judgements are comprehensive and more or less infallible. The erroneous and misleading character of this assumption has been emphasised by Tymoczko [ibid] and Steiner, apart from Valesio [ibid]. The fact is that certain social variables, such as social class, economic, educational, occupational and other background, may have a relative effect on the correctness and comprehensiveness of native speakers' linguistic intuitions. What must be emphasised here concerning facts relating to linguistic competence is that : [i] native speakers do not have perfectly reliable linguistic intuitions, which implies that: [ii] there are areas of opacity in one's knowledge of one's native tongue [lexical, semantic, grammatical, social]; but, moreover, [iii] one may not always know exactly what one meant to say by an utterance; and [iv] nor can one always express oneself in the clearest possible manner, even if one is sure of his intended meaning. These four factors affect the nature of linguistic competence, and the quality of the communication that takes place through performance, between speaker and hearer. These points obviously have direct bearing on the thesis of relativity of meaning assignments, and that of relativity of translation; they must be among the main reasons why there is more than one meaning assignment and more than one possible translation to a given sentence or body of discourse.

Thus, every reading, every understanding of a text is an act of interpretation, as Steiner [1975: 280] has pointed out.

The principle of translation theory which largely derives from these constataions is that of the three-dimensional critical approach. The translator is, and ought to be, in three important senses, a critic. Apart from being a critic of text, and a critic of people and societies, he must also be a critic of self, namely, of his intuitions, his own native speaker competence (both SL and RL), and, in the end, of his own product, the translated text, perhaps as literary work, but in any case as a faithful version of the original, and also as a message for certain types of receptors. In short, he must be guarded against any kind of assumption, never taking ~~neither~~ his own knowledge, nor the SL and RL texts, nor the people involved, completely for granted.

5.3 A functional theory of translation

5.3.1 Sociolinguistic versus functional perspective in translation

The first question this section seeks to answer concerns the relationship between the sociolinguistic principles outlined above and a functional theory of translation. This is done in two main parts. In the first

place, and principally, the sociolinguistic notion that language not only reflects, but transmits and reinforces culture and society, is essentially a functional one [see Halliday, 1978: Chapter 10 in particular, 'An Interpretation of the Functional relation between language and social structure ']. A functional theory of language can but lead to a functional theory of translation. Besides, the latter is functional in its nature in two other related senses. It is functional in the sense that notions of translation equivalence within it have a functional basis; translation equivalence occurs, not between two linguistic expressions, but between their functions within their respective social and linguistic backgrounds. And lastly, it is functional also in the sense that the essential notion which dominates all others when considering the technique of translation to adopt for a specific text is that of the primary function of the text [ideational or informational, interpersonal or social, and textual, or aesthetic]. Direction and emphasis in translation procedures will vary, depending on the function of the text in hand. As Kelly concludes [ibid: 226-7]:

'It is only by recognising a typology of function that a theory of translation will do justice to both Bible and bilingual cereal packet. As language lives through multiplicity of function, so does translation'.

Secondly, given the sociolinguistic rules enunciated above [Section 5.2], the translation model presented below [Section 5.3.3], based on Halliday's theory [op. cit and 1975 mainly] offers an objective procedure for specifying [as clearly as possible] that which permits to choose between M_1 and M_2 , and thus [to some extent] between RM_1 and RM_2 , namely, the context of situation, described in detail in Figure 5.2 of the previous section. Moreover, through a functional, linguistic analysis, Halliday's model also offers objective ways of relating the internal organisation of linguistic structure to the structure of the context of situation, thus enabling one to grasp how one structure reflects and determines the other and carries through the other's semantic load [see Halliday, op. cit: Chapter 6, Section 3.2, especially pp. 116-7, for an illustration of the correspondence between field and the ideational component, tenor and the interpersonal component, and mode and the textual component]. Such a linguistic model permits deep insight into the structure of a text, as within it, all levels of linguistic and semantic structure are related to each other and to the context of situation.

5.3.2 The aims, object, definition, of translation,
and faithfulness

In order to prepare the ground for the model of translation that follows shortly, it is necessary to discuss the above essential translation notions, reinterpreted to some extent within a functional perspective.

The aims of translation and the concept of faithfulness are obviously very closely related, so much so, in fact, that discussing the one entails discussing the other. In an important sense the most faithful translation is the one that is most successful in attaining its aims, provided, of course, that the latter be properly understood. The text determines the nature of the aims of a translation, not the translator. The essential thing for him therefore is to know what he must be faithful to, which he can only learn by studying his text. There are two kinds of aims in translation, general ones, which apply to any translation, and mainly have to do with the reason why one translates in the first place, and particular ones, which are specific to the type and function of a given text. The basic notion at the root of the translation process is, of course, the idea of transfer. It is the common duty of every translation to make a foreign text [or book] understandable to the unilingual reader [whether for aesthetic, personal or practical reasons]. Similarly,

another general aim of translation is to realise the transfer while remaining as close as possible to the original message, irrespectively of which technique or model each individual translator considers to be the most appropriate for doing so.

On the particular level, the aims of translation vary with the text, or more precisely, with the different functions of various texts. Every text fulfills a number of functions simultaneously, but there is a sense in which in each different text a specific function may be felt as dominant. As seen earlier, language serves three principal functions: [i] it transmits information or content; [ii] it serves to establish and maintain social relationships; and [iii] it serves to express oneself, or to create impressions, and to produce unique messages in texts. To label these the informational, social and aesthetic functions, or, following B  hler [Newmark, 1973: 3], the symbol, signal and symptom functions, or to adopt, as I do, Halliday's terminology, is mainly a matter of which school one chooses to follow^[4]. The dominant function of a text determines the perspective to adopt in its translation. This, of course, does not exclude, but adds a tinge to, the prior linguistic analysis involving the three functional levels. Note that, in literary texts, it is one or several aspect[s] of the functional components that will appear as

foregrounded^[5], on a specific level, in addition to the overall textual or aesthetic function which characterises literary works in general.

The major aim of translation, on a particular level, is thus to reproduce the dominant function of a text within the limits of the new matrix. To achieve this, however, demands more than a simple examination of the text. The dominant function may be obvious without investigation, in which case the study of the text will serve to reveal how this function was made to play the dominant rôle, through an analysis of linguistic structure and context of situation. In some cases the central function, or its more specific aspects, are more difficult to find; text analysis will then aim at uncovering the function, which will also entail discovering how the latter is made to dominate and relates to thematic levels in the text. Essential notions to emphasise with regard to the translation notions of aims and faithfulness, are thus:

- [i] The dominant function of the text, which determines what the translator must be faithful to.
- [ii] How the dominant function is made effective, operates, which can be grasped through linguistic analysis [of a Systemic type in particular].

[iii] On a particular level, the aims vary with the text.

[iv] The need for a typology of function.

The better a translator has understood the aims of a particular translation, the greater his chances to be faithful. Note that once one has a clear idea of what one must do, one may do it more or less aptly; but a more or less clever version done on the right basis is still better than an outwardly clever one which lacks this basis^[6]. For instance, a translator might put all his efforts to reconstructing the rhyme scheme of a poem in which rhymes are only of secondary importance after the rhythm. Faithfulness is not only a matter of finding good equivalents in general, but more essentially, one of finding appropriate ones for the appropriate features.

Consider for example political speeches; the central function normally is the textual (rhetorical), the aim of the text being usually to convince, rally others to one's opinion, or appeal to emotions such as nationalistic feelings etc. . . In a recipe, on the other hand, the prominent function is the ideational, the aim of the text being to pass on information. But there are also instances of discourse whose function is almost entirely interpersonal, where utterances are performed almost for the only purpose

of reinforcing or establishing social relationships (in situations such as buying a newspaper at a familiar newsagent, or meeting an acquaintance, where the content of the utterances would be very limited and would most likely revolve around the weather conditions of the day or previous day, in both situations, for England). In each of these cases, the dominant function provides a different 'direction' for the translation. In the first example, it is most important, let us say, to convince^[7], rather than to give a word for word version; whereas in the second example, the 'literal' technique might well be the most appropriate.

The third case, however, brings in further complications into the arguments about faithfulness which, nevertheless, might be resolved by resorting once again to the notion of function. The notions of use and reception of a translation are also highly relevant here. The problem is that of the long-dated dilemma among translation theorists between the opposite techniques of 'barbarisation' and 'naturalisation' (Liu : 1975) which arises mainly in literary translation. The question, as I see it, is almost an ethical one. Selecting among the examples suggested above the situation where one is buying a newspaper at a familiar newsagent, consider the following text (Halliday, 1978: 219):

Morning, Tom!

Good morning to you, sir!

Have you got a Guardian left this morning?

You're lucky; it's the last one. Bit brighter
today, by the looks of it.

Yes, we could do with a bit of a dry spell.

You got change for a pound?

Yes, plenty of change; here you are. Anything
else today?

No, that's all just now, Tom. Be seeing you.

Mind how you go.

Let us examine what would become of the bit on the weather in a translation for a foreign culture where cattle-raising is the main occupation, and subject of conversation when people meet each other. Since once does not usually discuss the weather at the newsagent in that culture, the question is, should the translator change the subject-matter into the more familiar one of cattle-raising or keep the original message intact? The only fair answer seems to me to be that (once again) it all depends on the function, as well as on the use and reception, of the translation. Whom, and what purpose must the translation serve are the relevant questions. If the conversation must be translated for a tourist manual for English speaking people visiting the country of the cattle-raising culture, adaptation must

take place. In this case the aim of the translation is to ensure that the social function of the text [in the foreground in this case] will be fulfilled. If, on the other hand, the passage is embedded in a larger unit of discourse, a novel for instance, its interpersonal function is overridden by that of the larger unit, or else, must be assessed in its background. One of the interesting aspects of the translation of foreign literature is that it enables RL readers to learn something of the SL culture. Conversations about the weather no doubt contribute typical local colour to an English literary work, and in this case, the technique of 'barbarisation' is, I believe, the most appropriate, because here subject-matter is relevant to the overall stylistic, literary effect of the book. The interpersonal function recedes in the background, giving priority to the ideational function. These examples help to reveal the wide ramifications of the fruitful notion of function.

The object of translation is the text. There would be no need to repeat this again, were it not for the sake of bringing in a further description of the concept of text. The notion is a vital one in Halliday's theory, in linguistic and stylistic studies in general, and for translation theory in particular. Being a semantic concept, text cannot be defined by size [Halliday, *ibid*: 135]. Such a concept is not composed of, but realised in, sentences. In the normal

course of events, the concept of text is characterised by an essential indeterminacy, as Halliday stresses [ibid: 136]:

'Clauses, or syllables, are relatively well-defined entities: we usually know how many of them there are, in any instance, and we can even specify, in terms of some theory, where they begin and end. A text . . . is not something that has a beginning and an ending. The exchange of meanings is a continuous process . . . ; it is not unstructured, but it is seamless, and all that one can observe is a kind of periodicity in which peaks of texture alternate with troughs - . . . '.

Halliday, however, makes an important distinction concerning literary texts, which have characteristics of their own [ibid: 137]:

'The discreteness of a literary text is untypical of texts as a whole'.

This implies that contrarily to other members in their category, literary texts escape the indeterminacy to some extent, in that they do have a beginning and an end.

Three main factors make 'texture' and thus justify the notion of text: generic structure, textual structure [thematic and informational] and cohesion. Halliday [ibid: 136] explains in full detail what makes a 'text', or distinguishes 'text' from 'non-text':

'Let me express this more concretely . . : not only has it a generic structure, but it is also internally cohesive, and it functions as a whole as the relevant environment for the operation of the theme and information systems. In other words it has a unity of what we have called 'texture', deriving from the specifically text-forming component within the semantic system, and this is sufficient to define it as a text. But we are likely to find this unity reflected also in its ideational and interpersonal meanings, so that its quality as a text is reinforced by a continuity of context and of speaker-audience relationship. In fact, this 'artistic unity' is already contained in the concept of generic structure, and reflected in the specific forms taken by the cohesive relations. So there is a continuity in the time-reference . . . ; in the transitivity patterns . . . ; in the attitudinal modes, the form of the dialogue, and so on'.

On the whole, thus, a 'text' is a continuous process of formal and semantic choices, realised in sentences and characterised by a generic structure, a textual structure, and an internal cohesion, which exhibits a certain essential unity displayed at various levels of the functional component and lexico-grammatical system. It is also a product of its environment and functions as a whole in that environment.

The last task at hand for the moment is to define the process of translation within a functional, theoretical perspective. It is no easier to define translation than it is to define meaning, so many considerations being involved.

An essential point is that such a definition should take into account five major elements, namely, the author [including his original intent], the original text, the translator, the translated text, and the readers. Definitions such as Catford's, which focus on the nature of the linguistic operations and transfer entailed in the translation process, are immediately ruled out as incomplete, and of dubious usefulness. That linguistics is indispensable to translation is almost a commonplace. But there is a long way from there to deducing that it is the overall discipline to which translation may be said to belong. In fact, as we have seen, an explanation of the process of translation touches a number of disciplines other than linguistics, of which sociolinguistics, stylistics, semantics, literary criticism, history and ethnography are the most noteworthy. The specific rôle of linguistics is limited to that of a foundation for the process and the technique (Mounin, 1963:17). Cary [1962: 3, 11] made the same point, even more forcefully.

Personally, I find it useful to consider translation as a process of 'restricted creation'. The restrictions are of two kinds: those imposed on the translator by the structure of the original and its function, and those imposed on him by the RL linguistic matrix and socio-cultural organisation. Ideally, faithful translating

consists in reproducing the original function and message within the most functionally appropriate RL linguistic structures, in a way that seems natural to the intended receptors and suits the use of the translation. In that he has to create a new text, the translator is a creator; but unlike the author, he must work within the limits of his model, the original, and also adapt these limits to those of the receptors' linguistic matrix, needs, and expectations. The above definition requires, on the part of the translator, an accurate knowledge of the nature of the two types of restrictions he faces, including the range of possibilities, or gaps, in the new matrix.

The model proposed in the following section concentrates in much more detail on the first kind of restrictions, which are, in fact, the most basic. Restrictions of the second kind only have a rôle to play in function of the original text and its inherent restrictions. They are dealt with at the level of the second and third steps of the model, where more intuitive procedures and the translator's knowledge-ability as well as skill are involved to a greater degree than in the first step.

The model is theoretically linked to both Steiner's [1975] hermeneutic model in four movements [trust, aggression, incorporation and restitution] and the Hegelian model [Kelly, op. cit: 61] of thesis, antithesis and

synthesis [the thesis and antithesis being the two languages involved, and the synthesis, the final translation] from which Steiner's is in part derived. The important difference between the present, and these other models, is that the former grants considerably more importance to the initial phase; the technique of linguistic and situational analysis is refined to a much further degree than in the two above-mentioned models.

5.3.3 A functional model of translation

Procházka [1942: 96, in Kelly: 42] provides a clear and useful framework which has served as a basis for the present translation model. According to him, the translator has three duties: [1] thematic and stylistic understanding; [2] reconciliation of two different linguistic structures; [3] reconstruction of the stylistic structures of the original.

[1] Thematic and stylistic understanding.

A. Dominant function of the text [ideational (or informational), interpersonal (or social), or textual (or aesthetic)]
(8)

B. Linguistic and thematic analysis

[a] grammatical structure

1. ideational component [transitivity system;

types of processes, and modes of participation]

2. interpersonal component [mood and modality]
3. textual component [thematic and information structure and cohesion]

(b) context of situation

1. field [type of social action; subject-matter; a complex of acts in some ordered configuration]
2. tenor [rôle structure; socially meaningful participant relationships that are specific to the situation, including speech rôles]
3. mode [the symbolic organisation; status assigned to text within the situation (didactic, persuasive, descriptive etc. . .); channel or medium; rhetorical mode; genre]

(c) prosodic structure [for poetry only]

[rhythm, rhymes, alliterations, arrest]

C. Stylistic outline

- [a] The foregrounded function of the text, together with the foregrounded features^[9] of lexico-grammar and phonology revealed in the linguistic

and thematic analysis, provide an outline of the stylistic structure of the text, that is, principally, of the specific ways in which theme and other levels of meaning are expressed through grammar, lexis and phonology.

(b) Macro-cultural information (if relevant)

1. wider, macro-cultural level [political, economic, social, cultural history, including considerations relevant to the division of socio-cultural labour]
2. world-view level [thought and behaviour patterns, beliefs about, and interpretation of the world]

(c) Information from the author's personal background (if relevant) [race, status, age, sex, educational background, etc. . .]

The stylistic outline (a) may be assessed in the background of the relevant macro-cultural and personal information.

(2) Reconciliation of two different linguistic structures

The concern of this step is the clash between two different linguistic matrices embedded in two different social backgrounds. At this point the translator assesses the possibilities offered by the RL matrix for the realisation of the original's structure. The 'direction' given by step

one may have to be modified according to the limits of the new matrix and to suitability and appropriacy. Problem-solving at this level (and similarly at the level of the next step) involves more intuitive procedures, including the individual translator's skill and knowledgeability, while still comprising a measure of objectivity, as provided by step one.

[3] Reconstruction of the stylistic structure of the
original

At this stage a compromise, in a functional perspective, is reached between the 'direction' dictated by step one and the restrictions imposed by the new linguistic and socio-linguistic matrix, in a continuum of choices which constitute the new, translated text. A major objective is to re-insufflate life into the translation so that it sounds like an original while still closely resembling the original. Here again, no doubt, a measure of intuition enters in the choice of suitable equivalents whereas the same basic lines of objectivity provided by the initial analyses keep the level of intuition in reasonable control, that is within the limits imposed by the original's stylistic structure while not exceeding the limits of acceptability imposed by the new matrix, unless absolutely imperative. Considerable skill is required in order to maintain the delicate balance of forces.

The order of presentation of the steps reflects real priorities with regard to both order of procedure and order of importance, at least as far as the status of step one in relation to the other two is concerned. Mainly owing to the latter's high dependency on it, step one enjoys a higher status of importance than the two other steps. The fact is that failure at the level of step one automatically invalidates the subsequent operations. Similarly, on a temporal basis, step two, or three, cannot precede step one.

Horace was probably the first to emphasise the crucial importance of the initial understanding of text in translation; in 'ars poetica' 131-5, he forbids the poet to venture where 'modesty forbids or the laws governing the work' [operis lex]. As Kelly puts it [op. cit: 217]:

'The responsibility of translation, then, begins with understanding the 'operis lex'. Its first aspect is communicative function, the balance, in Bühler's terms, between symbol, symptom and signal. The second is then assessing, in the light of this balance, values in the message'.

Elsewhere, in a similar line of thought, he also says [ibid: 42]:

'English classicists, . . . emphasised the duty of a full understanding of the original, so that, as Souter [1920: 8] puts it, one can find 'the most effective

English in which to express the meaning. . . . Gilbert Murray [1923: 421] goes further, describing the sacrifices translators will have to make in the transfer which, unless their examination has been thorough, will be wrong'.

He goes further when he concludes [ibid: 218]:

'If there is a moral responsibility in translation, it flows from initiative appropriately or abusively taken, from correct or incorrect assessment of the original'.

The importance of relying on solid, appropriate linguistic resources to achieve a proper understanding of the text, to go through step one, cannot be overemphasised. The most significant and practical contribution of linguistic techniques of analysis to translation mainly have to do with step one. They also affect the later steps, but only indirectly. It can be said that the principal aim of linguistic theory as applied to translation is to explain and describe the total meaning of a text, as well as how it is transmitted through linguistic structure. A linguistic theory which, in any respect, fails to comply with this is unsatisfactory for translation purposes (this is the case with T.G.G., at the contextual level, as seen earlier).

The above model is the outline of a general model of translation, literary, technical or other. The

distinction between technical and literary texts is essentially one of overall function, and the model provides for, even gives great importance to, functional variation. This very point was made by Kelly [ibid: 220]:

'Distinctions between technical and literary translation are deceptively easily exemplified, but simplistic: indeed one would be hard put to it to see what is essentially technical about late-eighteenth-century science texts like Kerr's Lavoisier. Likewise administrative and religious texts show all shades of objectivity: . . .

The basic variable is not one of subject-matter, but one of intent. The translator assesses the function in Bühler's terms of his source text; he judges his responsibility in relation to his reader, . . . '.

One might be tempted to argue that, on stylistic grounds, technical and literary texts can hardly be joined in a unified theory of translation. But here again one can be easily misled. Style is never irrelevant; it exists wherever there is text. The distinction to be recognised is not between style and non-style, but between different kinds of style relevant or not in different kinds of texts. As seen in the introduction, there is style that conforms to matter [relevant in technical as well as literary texts and closely related to the concept of register; see Halliday, 1978, especially 31-5 and 123-5], style that is selected to suit readership, and style that reflects the author. In fact,

how could translation theory be otherwise than unified within a theory of language in which the main functions are simultaneously realised in all discourse; such a theory entails a general theory of translation.

5.3.4 An example

I can see no better way of explaining further, and commenting on, the above model than to consider, once again, an example. It is a Chinese poem by Tu Fu for which at least ten translations into English are known [Walls, 1975: 68-75]. The translations can be judged on the basis of a purely literal, exact word for word version of the original by David Hawkes [in Walls, *ibid*]. Chinese poetry provides a particularly relevant example for the present discussion, mainly because it exhibits more conspicuously than in most Indo-European languages strong links between grammatical form and meaning. Features of the grammar themselves, which Chinese poets exploit to the full, permit to achieve very specific and effective poetic effects. Whether or not the very features of the linguistic system can be considered to have stylistic value is still a major controversial issue in some literature on Chinese poetry. But many prominent translators of Chinese poetry feel compelled to respect those features owing to their unique stylistic effects; Liu [1975: 61-62] thus summarises the relationship between poetic effects and Chinese grammar:

'To sum up: Chinese grammar is fluid, not architectural. Whereas in a highly inflected language [such as Latin] words are solid bricks with which to build complicated edifices of periods and paragraphs, in Chinese they are chemical elements which form new compounds with great ease. A Chinese word cannot be pinned down to a 'part of speech', 'gender', 'case', etc. . . but is a mobile unit . . . This enables Chinese poets to write with the greatest possible conciseness, and at the same time achieve an impersonal and universal quality . . . Thus, into a sequence of merely some twenty or thirty syllables can be compressed the essence of a scene, a mood, a whole experience; and it is not too much to claim that in a Chinese Quatrain or short lyric one does 'see a world in a grain of sand'.

In the introductory essay to his 'Poems of the Late T'ang' (1965), Graham emphasised the problems facing the translator owing to the absence of person, number and tense in Chinese, and how the limits imposed by the grammatical matrices of Indo-European languages can lead to essential effects being spoiled or distorted [in Liu, *ibid*):

'Late T'ang poetry, which explores the Chinese language to the limit of its resources, can be damaged severely by the irrelevant precision imposed by Indo-European person, number and tense. An example which applies to even older poetry is the use of pronouns. A Chinese poet seldom writes 'I' unless he is himself an agent in the situation . . . so that his emotions assume an impersonality difficult to achieve in English . . . The word 'I', supplied merely because English grammar requires a subject for the verb, can tip a whole poem over on to the side of self-righteousness or self-pity'.

Therefore, it seems as though, in the case of Chinese poetry, translation faithfulness means not only reproducing specific, accidental features of the original within the limits of the new matrix, but reproducing characteristic constant features of Chinese grammar, even if this entails breaking up RL grammatical rules, owing to the powerful semantic and stylistic impact these features carry with them, and, sometimes, to the relative lack of similar RL features which could be used to imitate these stylistic effects. If this kind of faithfulness is not adopted, the unique flavour of Chinese poetry may be severely impaired, if not almost entirely lost.

The original, and its word for word version, are as follows:

Kan shih hua chien lei, hen pieh niao ching hsin.
 Moved by times flowers sprinkle tears
 Hating separation birds startle heart.

Step one: thematic and stylistic analysis

A - Dominant function of the text:

Overall, the textual function is in focus, as we are dealing here with a poem. Specifically, several aspects of the ideational component, including the multiplicity of the rôles of participants, concision,

ambiguity, and the absence of tense, person and particles, are foregrounded, in their contribution to the plurisignality and universality of the theme. Parallelism, at the textual level, is also in the foreground.

B - Linguistic and thematic analysis:

1. Grammatical structure

[a] ideational component

There are three transitive clauses, and one intransitive. The omission of the subject, or affected entity, in clauses one and three, and the context of situation allow for the interpretation that both the poet and the flowers are 'moved by times' and crying, in clauses one and two, and that both the poet and the birds 'hate separation' and are 'startled at heart', in clauses three and four. In this case, the function of 'flowers' and 'birds' respectively, is dual: they can be seen as both agent ('flowers' causing tears, or crying themselves, and 'birds' causing the poet's heart to be startled), and affected entities ('flowers' being sprinkled with tears, and 'birds' being startled). At another, deeper level of meaning, the reader is also called to participate as the

emotions and the situation are presented in a universal perspective. 'Tears' and 'heart' have triple referents, being either the poet's, the birds', or the reader's heart, and the poet's, the flowers', or the reader's tears. 'Sprinkle' and 'startle' are both used in two senses; 'sprinkle' means either 'shed' or 'draw', whereas 'startle' is used in its transitive, and intransitive meaning [birds are startled in their heart].

The multiple rôles of the participants in each action are as follows:

action 1: 'moved by times' : affected entity: poet,
flowers, reader
agent: times

action 2: 'sprinkle tears' : affected entity: tears
agent: poet, flowers,
reader
indirect agent: flowers
[when 'sprinkle' has the
sense of 'draw']

action 3: 'hating separation': affected entity: birds,
poet, reader

action 4: 'startle heart' : agent: birds
affected entity: heart [the
poet's, the birds', the
reader's]

Strictly speaking, predicators in the Chinese text have no tense; translation into English requires one.

(b) interpersonal component

The mood is declarative in all clauses. Modality is non-existent. There are three active verbs and one passive [moved by].

(c) textual component

The information and thematic structure is neutral in all four clauses. A parallel syntactic construction is present, as exhibited in the sentence and clause structure:

line 1 B F

line 2 B F

The predicator of the B [bound] clauses is p-bound, whereas both F [free] clauses have the same internal structure: SPO.

2. The context of situation

(a) field

verbal art: the telling of an experience in a poem

theme: level one: troubled times cause sorrow to

flowers and grief to birds at parting from mates

level two: the sorrow and the troubled times are experienced by the poet, who is about to part from friends and relatives

level three: universal theme: the situation has a universal quality, as anyone caught in, or sympathising with other people in, such a situation, will experience similar emotions.

plot: active and passive participation of flowers and birds in the grief; the poet's and the reader's participation is implicit.

(b) tenor

poet and reader: the poet assumes the rôle of recounter of something personal, but to which he gives a universal sense; and in doing so he acts as impicator of the reader in the feelings expressed in the poem.

birds and flowers, and poet and reader: birds and flowers are the experiencers of the emotions at parting and over the hard times on an immediate situation level, but at the same time, on a metaphorical level, they are recallers of the poet's and the reader's feelings in the same situation.

[c] mode

written medium: monologue

poetic form: parallel couplet [a Chinese poetic form]

parallelism: B F [cause-effect]

B F [cause-effect]

C. Stylistic outline

Although the overall dominant function of the poem as such is the textual, it is, as noted earlier, several aspects of the ideational, and one aspect of the textual, components, in their contribution to the three thematic levels, which are in the foreground in this particular poem. Plurisignality is mainly revealed in the multiplicity of the rôles of participants in each action, as explained above. Here is a schematic representation of the three thematic levels and the grammatical and other formal features of the poem which justify, or contribute to, each thematic interpretation.

Thematic levels	Grammatical justifying features	Other formal contributing features
<p>1. subject-matter: the emotions are the birds' and the flowers'</p>	<p>rôles of participants coincide with the grammatical subjects and objects</p>	<p>-</p>
<p>2. contextual level: the emotions are the poet's</p>	<p>a - absence of subject in clauses 1 and 3 b - absence of tense or person</p>	<p>parallelism</p>
<p>3. universal level: the emotions are the reader's</p>	<p>a - absence of subject in clauses 1 and 3 b - absence of tense or person c - absence of particles</p>	<p>a - concision b - parallelism</p>

Diagram 5.1 The three thematic levels of the Chinese poem and formal contributing features

That there is so much to be said of, and understood from, the meaning of such a short poem, is a tribute to the poet's skill. Whereas the only explicit participants are 'birds' and 'flowers', the implicit participation of the poet is justified on a contextual level, and also grammatically. The reader's participation is implied by the universal character of the meaning; and both the universality of the poem, and the consequent implicit participation of the reader, may be grammatically justified. The features [or functional equivalents of them] which should appear in the translation in order to reproduce the three semantic levels are thus: the absence of subject in clauses one and three, the absence of tense, person and particles, concision, and parallelism of structure.

Step two

English and Chinese are farther apart linguistically than geographically. In this case, it is the receptor matrix that is called upon to do most of the adaptation, some of the significant features of the original being achieved through characteristic, constant features of Chinese grammar, as seen earlier. Overlooking these would mean spoiling the impact of the poem. However, although English can accommodate the absence of particles [compare with French: 'oiseaux' instead of 'les oiseaux'?), it can hardly do the same for tense, or person. But in this particular

case, the English matrix resources can be used to achieve similar effects to those of the original; the present tense seems best suited to convey a sense of universality, and the plural, in 'birds' and 'flowers', seems more natural than the singular, while it permits to eliminate two particles with ease. Plurisignality within concision is much harder to achieve in English than in Chinese, especially when form and length are restricted as they are here; translation of the poem into French would be even harder in this regard, owing to its love of precision. The parallelism, so crucial in this poem, poses little difficulty in English; but it would be a different matter altogether for French.

Step three

In order to reestablish the balance of forces, to recapture the life of the original, so that the translation reads like an original, it is not sufficient to reproduce or imitate the original features. The result should have a quality of unity, a life of its own, and in the case of poetry, it should be valuable as a poem in its own right. The translator must also reach a compromise between what he must, and what he can, do, in the form of definite choices which may imply sacrifices of some kind. Given the major importance of plurisignality in this poem, for instance, it is preferable for the translator to neglect some other aspect(s) of the poem rather than lose any element which contributes to this crucial feature.

The translations

Here is how ten translators have succeeded or failed. The first seven versions fall short in too many of the above-mentioned essentials to be considered as faithful translations. The plurisignality, or, at times, the meaning itself [subject-matter level] is partly lost, or changed [as in Bynner's, Alley's, Legge's, and Payne's versions]. The addition of 'I' [in Alley's version], 'me' [in Alley's and Legge's versions], 'my' [in Legge's and Payne's versions], and even 'their' [in Bynner's version], has a particularly disastrous effect on the plurisignality, particularly for the universal interpretation. Other lexical items have been added [or subtracted] which make the poem heavy with unnecessary detail [in Alley's, Cooper's, and Legge's versions for instance], and somewhat mar the universal effect. By failing to see the importance of omitting the subject of the emotions over 'the times', and of the 'hating separation', Hawkes, Alley, Legge, and Payne miss two levels of meaning.

Hung's version, on the other hand, although it does not reproduce the original parallel structure, is faithful in most essentials, and, on the whole, very effective; most importantly, it recaptures the three interpretation levels through a clever paraphrasing of the original; it recreates the universal effect through absence of particles, the

present tense, and an ingenious punctuation device [. . . , . . .]. The general 'mood' is, appropriately, one of overwhelming sadness.

It is certainly no coincidence that the two most effective versions [Watson's especially, in my view], are the most faithful ones, on the grounds set up earlier. Both Davis and Watson^[10] reproduce the original's plurisignality in its totality, including some of the formal features which contribute to it, and the parallelism. Only Watson's, however, is thoroughly respectful of the original degree of concision, exact syntactic structure of the original parallel, and, like Hung, goes as far as omitting the article in front of 'birds' and 'flowers'. Note also that his version has the same number of words in each line [that is, 6: 5 lexical items and 1 particle], as in the original. The absence of capital letters at the beginning of the lines, and the alliterations [/f/ and /t/] in line 1; and /h/ in line 2] also are interesting features which [in my opinion] enhance the universality of the theme.

The flowers shed tears of grief for the troubled
times, and the birds
seem startled, as if with the anguish of separation . . .
[David Hawkes, 1967: 48]

Where petals have been shed like tears
And lonely birds have sung their grief.
[Witter Bynner, 1964: 119]

Seeing flowers come, a flood
 Of sadness overwhelms me; cut off
 As I am, songs of birds stir
 My heart; . . .
 [Rewi Alley, 1964: 36]

Though at such times
 flowers might drop tears,
 Parting from mates,
 birds have hidden fears;
 [Arthur Cooper, 1973: 171]

Returning flowers constrain my gushing tears;
 The bird's song frightens me, mourning my separation.
 [James Legge, 1966: 122]

In sorrow for the times the very flowers are weeping
 And the birds flutter in grief at the sad farewell.
 [Soame Jenyns, 1940: 98]

Sorrowing over the times, the flowers are weeping.
 The birds startled my heart in fear of departing.
 [Robert Payne, 1960: 189]

. . . Flowers are watered with tears of discouragement,
 Birds sing heartbreaking songs of separation, . . .
 [William Hung, 1952: 105]

In sorrow at the time, the flowers are splashed
with tears;

In grief at separation, the birds alarm the heart.

[A.R. Davis, 1971: 52]

Feeling the times, flowers draw tears;

hating separation, birds alarm the heart.

[Burton Watson, 1971: 162]

5.4 Some conclusions

What this example demonstrates with some certainty is that the model, and the principles of translation underlying it, can be of practical use to the translator, particularly as far as finding what is important in the original is concerned. The common reader might fully appreciate the total semantic load of the poem; but knowing precisely how this is done, structurally and stylistically, is a different matter altogether. The reader does not need this information, but the translator does. The model, thus, provides a technique and a direction to a process which is otherwise characteristically ill-defined.

One major thing, however, such a model does not do, is solve problems [although it locates them and indicates the way towards their solution]. Once the analyses are completed, subjective factors at the levels of the individual translator's skill [writing ability, and aptitude to find good equivalents], intuition, as well as knowledge of the receptor

language, come into play. Consequently, one must be realistically aware that there will always exist a margin of subjectivity in one's approach to the original and in one's assessment of the translation. But be it as it may, the model's usefulness is not thereby invalidated; it provides one with the basic objective methodology to scrutinise the original, and with minimum objective criteria to assess the faithfulness of a translation.

The functional orientation is no breakthrough in the history of translation theory. It is as old as the field itself. As early as some 45 years B.C., Cicero advocated the technique of dynamic equivalence whereby he 'sought to express parallel matter through parallel language resources' [Kelly, 221]. 'Dynamic equivalence seeks for the word of the source text a unit equivalent in communicative function' [Kelly, 132]. Moreover, Kelly (:210) attributes to Cicero the view that 'the letter of the text is expendable provided that the function of the version vis-à-vis the reader is the same as that of the original'. Cicero also seems to have held a strong belief in the relationship between form and meaning, to a rather extreme degree [Kelly, 211]: 'In De oratore III, lvii,. 216, Cicero tells his readers that every impulse of the mind has its own facial expression, sound and gesture'.

St. Jérôme, some four hundred years later, was a most fervent admirer and imitator of Cicero and his translation technique. Much later, taking into serious consideration the notion of appropriacy to context of situation, the views of 'pillars of respectability' like George Campbell (1789) assumed a definitely social-functional orientation; his theory is in fact remarkably complete, exhibiting a rare degree of perceptiveness for the time, and has not been significantly improved on since, in principle [op. cit. vol. 1, 450 and 32, in Kelly, 148-9]:

'The translator's only possible method of rendering words justly is by attending to the scope of the author, as discovered by the context, and choosing such a term in the language which he writes as suits best the original term in the particular situation in which he finds it'.

'The exact import of many of the words and combinations of words made use of in the language will never be perfectly comprehended by one who is totally unacquainted with the history of their religion, law, polity, arts, manners, and customs'.

Campbell shows, to a degree rarely, if ever, found elsewhere in early and even modern translation theory, a keen sense of the receptors' point of view in the translation situation, by which he distinctly assumes a functional perspective. The four ways he distinguishes of dealing with institutions peculiar to Biblical societies are theoretically important, but his greatest perceptivity and theoretical refinement is shown in the three considerations by which his technique is governed [ibid. I, 341]:

The four ways of dealing with institutions peculiar to Biblical societies are:

- [1] adapting the word from the original language;
- [2] using a neutral equivalent;
- [3] using a translation based on equivalent function determined by context;
- [4] exact conversion into a dictionary equivalent.

The technique to be used is governed by three considerations:

- [1] there are situations where the properties of the original thing designated are essential to the functional sense;
- [2] there are situations where it is of no importance;
- [3] there are situations where the relationship of the thing to other objects of the same class is important.

In the 20th century, it is with Mounin that the descriptions of process so far typical of the Prague and Geneva approaches to translation began to be related to the underlying functions of language. This step marked the formal beginning of sociolinguistics' interest in

translation, and the present work is an extension of this trend.

Although, in principle, the main theoretical points of a functional theory of translation were made a long time ago, such a theory, until recently, suffered from a lack of rigor, as exhibited in the lack of formalisation in the technique of text description deriving from the lack of an appropriate basic theory of language, which has been Halliday's main invaluable contribution.

A crucial distinction calls for serious attention here. It is one thing for a translation theory to exhibit a functional orientation, but it is quite another to have a translation theory based on a complete functional theory of language. Such a theory is functional throughout in that a functional theory of language does not only offer functional principles of translation theory, but a whole system of analysis and, ultimately, explanation, of language, based on the functional notion that language serves for us a number of definite purposes which have modelled the very structure of the linguistic system. In other words, the essential principle is that language is as it is because of the functions, the uses, it serves for us. Halliday (1978: 192) himself makes this distinction between his theory and other socially-oriented theories of language:

'After a period of intensive study of language as an idealised philosophical construct, linguists have come round to taking account of the fact that people talk to each other. . . But it is one thing to have a 'socio-' [that is, real life] component in the explanation of the facts of language. It is quite another thing to seek explanations that relate the linguistic system to the social system, and so work towards some general theory of language and social structure'.

In this respect therefore, Halliday's theory marks a definite step forward as far as translation theory is concerned. Whereas all we previously had were more or less coherently organised functional principles of translation, we can now look forward to a general, thorough, functional theory of translation, where principles are systematically matched, justified, and strengthened, by linguistic analysis, technique, and procedure.

For different Systemic approaches to translation see, apart from Catford, Ure [1963] and Ure, Rodger and Ellis [1969].

I do not see that there can be real, useful, progress in the field of translation but within [sociolinguistic] functional lines. And there are clear indications [see Kelly, Chapter 9 in particular] that the translation theory of the near future will readily acknowledge this.

Conclusion

What I have done mainly in this work is indicate where the most important and the vast majority of translation problems lie, their nature, involving formal-semantic links and contextual factors principally, and the direction translation theory should adopt in order to begin to tackle these, that is, a functional, sociolinguistic perspective.

The shortcomings of the description of cognitive meaning in its potential and actual contributions to translation have been emphasised with particular strength; but it does not necessarily follow that these indicate an intrinsic, absolute failure of this aspect of semantic description. What has been shown with sufficient certainty is that, firstly, in literary translation [at least] problems at that level are neither the most significant nor the most widely encountered in practice; and secondly, that whatever useful features description at the logical level may reveal can often be overridden by contextual considerations. But for translation in general, the importance of the cognitive level should not be underestimated either; not only is logical meaning in focus in certain types of texts, it is, moreover, an important aspect of the meaning of any linguistic event. The danger is to grant it priority on a general basis, by placing it above, or overlooking the other types, and to analyse it on its own,

irrespectively of the other types of meaning. A typology of meaning and function is a must in order to account for all the types of meaning and their various degree of significance in different texts.

One thing I have not done, and could never do, is claim that the above-mentioned areas of study cover all there is to translation. In fact my conclusion must be that, in the end, Mounin has the last word [1963: 17]:

'Toute opération de traduction . . .
comporte à la base, une série
d'analyses et d'opérations qui
relèvent spécifiquement de la
linguistique . . . la traduction
reste un art - mais un art
fondé sur une science'.

It might be added that, to be complete, Mounin's recognition of the scientific foundations of translation should include sociolinguistics. To explain Mounin's statement that 'la traduction reste un art' is to define the limits of the present research.

Basically, three, until now relatively ill-defined, notions which have pervasive relevance in this work, namely the relationships between form and meaning, the extent of the potential and actual dependency of translation on the prior linguistic, contextual, and stylistic analyses, and the receptors' responses, call for further clarification at this point.

Grasping the semantic value of form, like any stylistic analysis done for the purpose of understanding a text, and every reading in itself, involves some degree of interpretation. Whereas there may be relative objectivity in the observation of form and meaning as two separate sets of data [to the extent that this is possible], the move of relating one to the other in a certain way comprises a measure of subjectivity. And this can but hold true of a translation based on a stylistic analysis where formal-semantic relationships play the first rôle. Similarly, one must also bear in mind that there is no fixed rule that assigns a specific meaning to every occurrence of a given form. As a matter of fact, it is a rule of thumb in stylistic studies done in a functional perspective that the same formal features, of sound, syntax, lexis, may be interpreted as having different meanings, depending upon the overall theme and subject-matter of a text. The indeterminacy of meaning assignments is thus partly derived from this characteristic of, as Cluysenaar [op. cit: 111] puts it, 'how natural language works at full stretch in parole'. She clarifies further [op. cit: 109]:

'It is evident that since the intrinsic and relative prominence of given linguistic features within different given works, and their frequency, is infinitely variable - and they may be combined in an infinite variety of ways, both with each other and with meanings - we can only rely, ultimately, on the direct human perception of individual works'.

This characteristic of language in use justifies, on the one hand, the existence of style and variation, but rules out by the same way the possibility of arriving at a perfectly objective account of any discourse. Some evaluation, in different degrees, is always present.

The limitations of the kind of stylistic and sociolinguistic analyses advocated here as a prior requirement for a faithful translation have been clearly hinted at; relevant and useful as these may be, subjective factors at the individual translator's level also play an important part. Moreover, not only do these factors influence the interpretation of the text, but they also, both directly and indirectly, affect the actual translation. However clever a stylistic and contextual analysis the translator may have carried out, the choice of equivalents remains his personal burden; and there may be wide variations in the degree of success of translations done on the basis of the same preliminary analyses, according to the individual translator's ability.

Again, the question of the reception, and assessment of the quality, of a translation remains, in some measure, subordinated to largely subjective criteria. Even though the analyses provide an objective basis, it is with considerations of readability and suitability to intended readership and reader's expectations that the subjective factors step in.

The reception of a translation is closely related to the readers' expectations which Nida, as we have seen [see Chapter One], categorises as follows. People expect (i) certain forms to be used by certain people who habitually use them (e.g. the B.B.C. English); (ii) certain forms to be used in relation to certain subject-matters (e.g. legal language); (iii) certain forms to be used in certain settings (that is, in time [Old and contemporary English]; place [in Church, at the office, at the pub]; rôles of participants [parent-child; doctor-patient; shop-assistant-customer; teacher-student]; and degree of formality [frozen, casual, intimate etc . . .]). An author can play on such expectations to create certain reactions, favourable, unfavourable, of surprise etc . . ., in his readers.

The relevant factors of the readers' background [see basic model of communication, Section 5.1], that is, age, race, sex, education, social and economic class and so on, also influence the reception of a text, and may also, on the other hand, affect expectancies on the part of individual readers. But this notion implies the closely related, above-mentioned, one of intended audience.

Different kinds of literature often are intended for different categories of readers, and the notion of intended audience has bearing on both the form of a text or

translation (and its technique too) and its reception. On the one hand, Mills and Boon and Guy des Cars romance novels for instance, are intended to, and must mostly attract (as far as I know) working-class girls or women, which, nevertheless, does not preclude that a literary-inclined person, or critics, might be interested too, for different reasons. The latter will 'receive' the novels in a totally different manner and perspective. On a different level, similarly, it is unlikely that the translation of a 'chanson de geste' poem will be carried out except for the literary elite, who only perhaps, now, can really appreciate it. But Chinese poems, on the other hand can, and have been translated, for both the literary and the popular audience; and the former and the latter would not react similarly to each version. Be it as it may, however, let it not be forgotten that there are, as argued earlier (see Chapter 5, Section 5.3.2) reservations as to the extent to which the translator may, or must, depending on a given case, adapt a translation to the expected readers. Besides, given the wide variety of people who may approach a text, for a variety of purposes, it must be borne in mind that, as hinted at earlier, the reception of a text remains, on the whole, very subjective grounds indeed^[1].

But whatever influence subjective factors, either at the translator's, the text's or the receptors', level, may

have been shown to exercise, this constitutes no reason 'for not carrying conscious critical awareness as far as it will go. The point about the function of critical method in the total critical response is much the same as the point about the function of technical skill in verbal creation. The greater his skill, the more freely the writer is able to follow the direction of his creative impulse. But that impulse itself, like the reader's response to its results, is something that cannot be produced by following rules, only experienced as a capacity of human living' [Cluysenaar, op. cit: 109-10].

Analyses of the type advocated here, thus, whatever their limitations may be, serve two most useful purposes for translation. Firstly, they channel the sensitive reception of the text by the translator into the author's lines of 'intent', as displayed at various levels of the linguistic and contextual structure of the original^[2]. Sensitive perception without such a direction tends to make a whimsical wandering about of what should be a process of purposively walking one's way up to one's goal. And lastly, they provide the critic [the reception of a translation, after all, can be regarded as a form of literary criticism] with clear lines according to which the subjective elements which are bound to infiltrate his assessment can be curbed so as not to become dominant.

To the extent that the view of linguistic events in general as performing a number of semantic functions [logical, social and expressive] simultaneously, one or the other being more or less in focus in various types of texts, is accurate, a part of subjectivity will always be implicitly involved in any investigation of linguistic structure, no matter how scientific it purports to be, and parallelly, more subjective or intuitive approaches to texts [like a critique of a translation] will always need to be carried out against the relevant objective background. It is no wonder, therefore, that we have recently witnessed linguistics, and translation, calling for sociolinguistic and stylistic rules, and stylistics for linguistic ones.

NotesIntroduction

1. Note, however, that Levy applies linguistic methods to the translation of literary texts, poetry in particular.
2. See also Cluysenaar, 1976, and Ray, 1976.
3. See also the T.G.G. and Systemic approaches mentioned below, Section 4, as well as numerous references in Kelly, Chapter Two.
4. Mounin, however, shows that although deeply aware of the linguistic aspects of the process, he remains realistically convinced that the latter are definitely not all there is to translation [1963: 17]:

 'Toute opération de traduction comporte à la base, une série d'analyses et opérations qui relèvent spécifiquement de la linguistique . . . la traduction reste un art - mais un art fondé sur une science'.
5. In Kelly's words (op. cit: 56): 'approach to an original assessment of what is important is what is meant by hermeneutics'. However, the notion, originally applied to literary texts only, has been widened to include concepts on the social aspects of language.

6. Note that style that conforms to matter is also involved in literary texts. An original, outstanding demonstration of this is found in Halliday, 1973, Chapter 5: 'Linguistic function and literary style: an inquiry into the language of William Golding's 'The Inheritors''.
7. In so-called 'technical' texts the main function is usually the informative and the kind of style involved is mainly [i], although [ii] and [iii] are also implied, in a lesser measure; legal literature for instance, is highly formalised, but in a very regular, fixed manner, so that once the relevant rules are grasped, such style is understood once and for all. The case of poetry, where the style of each poem is unique, is obviously totally different.
8. The scope of another entire doctoral dissertation would still be limited to cover such a vast subject.
9. Naturally, except for exceptional cases, the translator will possess such sensitivity to a lesser degree as far as one of the languages is concerned, the source language most probably.
10. The latter two authors' conclusion is only partly negative, from their own point of view. Ganeshundaram, on the one hand, suggests a cooperation between T.G.G.

and Halliday, Fillmore and Whorf, or, in other words, that T.G.G. be expanded to include contextual matters, which the latter authors have best dealt with. Taylor, on the other hand, whose model is not even intended for practical use, and who is well aware of the inadequacies of machine translation, is concerned with a T.G.G. model of technical and legal translation; he deplores more specifically T.G.G.'s restriction to the sentence unit and the fact that the model leads to certain errors, at times serious, which is an unacceptable feature of any translation model.

11. Walmsley's proposition remains very vague indeed.

Chapter One

1. Cluysenaar, 1976.
2. See Wiggins [1971], and also Alston's and Strawson's papers in the same collection. Examples of utterances devoid of cognitive meaning, such as those given by Ziff [1971], are highly artificial.
3. See also Linsky, L. [1971] 'Reference and Referents', in Steinberg and Jakobovits [1971] 76 - 86.
4. 'Central' is not intended here to mean that is is the most important, but rather, that it is present in all

linguistic communication; in fact, different types of meaning will predominate in different types of texts, or utterances.

5. See Joos, 1967.
6. On foregrounding see also Cluysenaar op. cit. 60 - 62.

Chapter Two

1. In an oral text, 'tone group' can be strictly defined; in a written one, and particularly in a poem, ambiguity arises from [deliberate or non-deliberate] multiplicity of interpretation.
2. In French-Canadian use the French 'petit déjeuner' corresponds to 'déjeuner', whereas the French 'déjeuner' is 'dîner', and the French 'dîner' is 'souper'.
3. This set should also include the domestic cat, the ounce, the cheetah etc . . . The last two are subsumed in leopard for ordinary people, but not for zoologists, game hunters and Indian peasants; in other words the set given [mammal, cat, leopard etc . . .] operates within a language in relation to certain sub-cultures. Note that linguists tend to belong to the same sub-culture.
4. Note that all five words belonging to the same semantic domain, i.e. expressing different types of

'shining', start with the same phonemic group 'gl'; this fact (and similar sets abound in English: e.g. 'whistle', 'hiss, 'whiz', 'swish'; 'clap', 'tap', 'flap' etc . . .; 'slash', 'crash', 'smash' [idea of suddenness and violence of impact]) constitutes evidence in favour of the semantic value of phonemes.

5. But there is a more recent trend for French and English, where a subtle kind of both 'Franglais' and 'Frenglish' consists of accepting the other language's usage (e.g.: 'rife' in Eurocrat English, and [perhaps] in commercial French).
6. Although in some cases a language may present some lexical 'holes' when confronted with another language, this does not necessarily mean that L_1 has no means of compensating for these holes (by a paraphrase for instance), and thus of translating a given concept in L . Looking at the example of 'aunt' in English, which has two more specified equivalents in Persian 'ghole' [father's sister] and 'ame' [mother's sister], English does not possess any exact equivalent for these two lexemes, but does have 'mother's sister' and 'father's sister' (also 'maternal uncle') which constitute weak but approximate equivalents, as the 'aunt' kinship relation is absent from the meaning of these phrases.

In other cases, it is not so much a matter of 'holes' in a language, but of what can be said in a specific situation. Considering the example of 'foutre' in French, if [50 years ago for example] English could not use its equivalent ['f... off'] (it is certainly significant that English does not even dare write it in certain contexts) it is not because it did not exist, but because it could not use it. Note however, that even though 'f... off' and 'foutre' have essentially the same referential meaning, social pejorative connotations are much stronger in English than in French, even in contemporary use, so that 'foutre' must usually be rendered by a 'milder' expression in English, such as 'leave me alone' [too mild perhaps] or 'buzz off' [fous le camp].

7. But this is not to mean that the social aspects of meaning are not rule-governed; much current literature is devoted to establishing the systemacy of linguistic variation [see Ager (1976) for instance].

Chapter Three

1. Not so much the philosophy, but the marxist concern with praxis, society and so on.
2. The rhythm of the original has the following pattern:

1. /-| /-|| / ~ ~
2. /~| /~|| / ~ ~
3. /~| /~|| / ~ | /~
4. /~| /~|| / ~ | /~

Chapter Four

1. The reader is referred to Chatman's, Fowler's, Freeman's and Love and Payne's anthologies for numerous linguistic approaches to stylistic studies.
- 2 . This poem was analysed by Cluysenaar [1976: 57-9].
- 3 . See Levin, 1963, 1965, 1967, 1971.
- 4 . See Ohmann, 1966 and 1970, mainly.
- 5 . See Wexler, on grammetrics [1964].
- 6 . In the pair 'horror'-'hearer', however, the terminal syllables are identical phonologically but different graphically.
- 7 . Note that I did try to reduce the number of syllables; but I had second thoughts about it and came to the conclusion that the meaning would be impaired by using different [near] equivalents, such as 'Que la nuit tombera sur ton . . . ' [for 'Dusk will delay on your path to the pass'; it misses the important idea of darkness lingering on, implied in 'delay' and also in 's'attardera').

Chapter Five

1. Two different peoples living far apart geographically, may share [almost] the same language, but have different socio-cultural backgrounds. U.S.A. and England, and Québec and France, are obvious examples. But by the fact that they share almost the same language, their cultures are bound to have numerous points in common.
2. That is, it is necessarily learned by the mere fact of living, and being brought up, in a specific socio-cultural and linguistic environment.
3. See Whorf, 1956, and his comparative study of the Hopi and English languages, the grammatical representation of time and actions in particular. See also Section 5.3.4 below.
4. There are, however, variations involved in these different terminologies, but only relatively minor ones.
5. See Halliday, 1973, Chapter Five, where an inquiry into the language of William Golding's 'The Inheritors' leads him to discover how certain choices in the transitivity system [ideational component] contribute significantly to various thematic levels in the work as a whole.

6. See as an example, Cluysenaar, 1976, Chapter Two, and Day Lewis' translation of the poem 'Les Pas' by Paul Valéry. The translation is shown to be inadequate because it fails to reproduce the features which, in that particular poem, are the most important.
7. The aim may not be to convince really, since the text was not initially written for RL readers, but to convince SL readers; it would rather be to reproduce the convincing character of the original.
8. I am aware that by 'textual', Halliday does not specifically mean 'aesthetic'; but the aesthetic function, together with other notions such as cohesion, is implied in the textual function through notions of genre, thematic, and information structure.
9. In Halliday's terms [1975: 112]: 'a feature that is brought into prominence will be foregrounded only if it relates to the meaning of the text as a whole. This relationship is a functional one: if a particular feature of the language contributes, by its prominence, to the total meaning of the work, it does so by virtue of and through the medium of its own value in the language - through the linguistic function from which its meaning is derived. Where that function is relevant to our interpretation of the work, the prominence will appear as motivated'.

10. Hawkes' word for word version, even though it was not intended as a proper final version, is also a faithful one.

Conclusion

1. All this to say that, as faithful as one may try to be through objective methods, there is always a part of subjectivity waiting around the corner. A faithful translation may not be what the common reader wants to see. On the other hand, one may translate more freely for the common reader and be criticised by the specialist for doing so. The key for the translator is to know what he is doing, so that criticism will only be relevant if it concerns the aims he had initially set out to attain.
2. One must be aware, of course, of the 'intentional fallacy'. But it nevertheless remains true that the author's 'intent' (in the sense of intended function and meanings mainly), however inaccessible on absolute grounds, is bound to be reflected in the author's choices at various structural and semantic levels.

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Also particularly relevant and useful are the other works of Bouazis and Escarpit, and those of Leo Lowenthal and René Wellek.