

**AUDIENCE DESIGN IN LITERARY TRANSLATIONS FROM  
ROMANIAN INTO ENGLISH: A CORPUS-BASED ANALYSIS OF  
DEIXIS AND PRESUPPOSITION**

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## ABSTRACT

The aim of this study is to investigate audience design in literary translations from Romanian into English. Following work on the communicative, interactive, and interpersonal nature of written texts in general (e.g. Myers 1989 and 1999; Nystrand 1989), and of translations (e.g. Hatim and Mason 1997), the study takes as its starting point the assumption that the notion of audience design (Bell 1984 and 2001) is applicable to literary translations. It seeks to examine audience design in the translated novels and short stories belonging to a corpus designed for the purpose of this research, and to identify trends in audience design which might be in operation in some or all of the translations included. Both quantitative and qualitative methods are used and the analysis is based on a model designed specifically for the purpose of the study, focusing principally on deixis and presupposition. While quantitative analysis is primarily concerned with numbers of occurrences of translational shifts, the qualitative analysis, which draws mainly on pragmatics, explores non-obligatory translational shifts in their co-text and context, in order to seek evidence of audience design. The qualitative analysis also looks at the interaction of shifts across larger text units, to try to ascertain their impact on the overall audience design of translations compared to that of the original texts. The study concludes that the nature of the audience design in the translations in the corpus is one of *distancing*, whereby target readers are positioned as less involved with the text, or the characters, ideas, and events presented in the text, compared to the audience of the original text. A further important finding is the uniformity of this trend, which manifests itself, to a greater or lesser extent, in virtually all the translations in the corpus.

## **ACKNOWLEDGEMENTS**

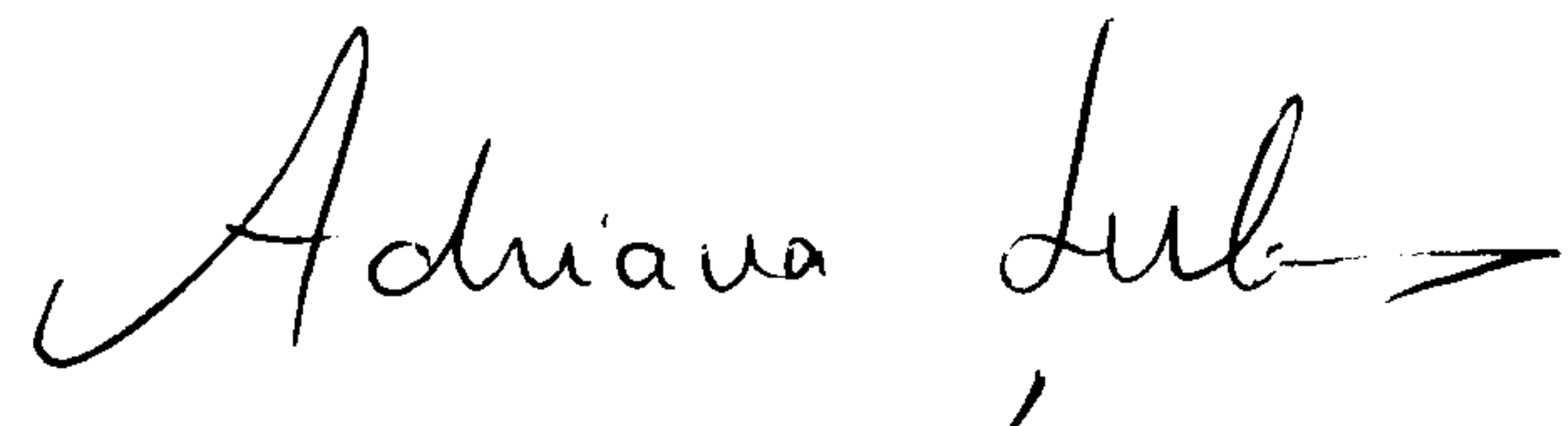
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## DECLARATION

Except where reference is made to the work of others, this thesis is original work and has not been submitted for any other degree. All the work presented therein has been done after registration of the candidate for the degree of Doctor of Philosophy.


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## LIST OF ABBREVIATIONS

adv.	adverb
B	pertaining to the B sub-corpus
B sub-corpus	the sub-corpus of translations published in the UK and translated by English native speakers
dem.	demonstrative
f.	feminine
FTA	face-threatening act
m.	masculine
M	pertaining to the M sub-corpus
M sub-corpus	a hybrid sub-corpus, including translations by teams of Romanian and English translators, books translated by Romanian translator and published in the UK, and translations by translators whose names are not mentioned and whose identity could not be ascertained
pl.	plural
R	pertaining to the R sub-corpus
R sub-corpus	the sub-corpus of translations published in Romania and translated by Romanian native speakers working into English
sg.	singular
SL	source language
ST	source text
TL	target language
TT	target text



# CHAPTER 1

## INTRODUCTION

### 1.1 Initial observations

The notion of Audience Design (Bell 1984 and 2001) comes from sociolinguistics, where it has mainly been associated with studies of spoken interaction; its main tenet is that communicators always design their output for an audience, and that this design is the primary determinant of linguistic style and manifests itself at all levels of linguistic choice. In view of recent research into the communicative, interactive, and interpersonal nature of written texts (e.g. Nystrand 1986 and 1989; Myers 1989 and 1999), including literary works and translations, it is plausible to suggest that audience design is in operation in written texts just as it is in any other texts.

Translation theory, especially in its target-oriented form which includes functionalism (e.g. Nord 1997) and *skopos* theory (e.g. Vermeer 1996), and the communicative approach adopted in studies such as Hatim and Mason (1997) and Gutt (1991/2000) has in various ways prepared the ground for the introduction of the audience component to the study of translating and translations, but to date there have been very few studies of audience design in translation, in the sense of Bell (1984 and 2001) (see, however, Mason 2000).

### 1.2 Aims and objectives of the study

The broad aim of this project is to investigate audience design in literary translations (prose only) from Romanian into English published during the period 1945 to 1989.

The specific objectives of the study are:

- to create a corpus of translations into English of Romanian literary prose, which will then be rigorously sampled and studied with respect to audience design;

- to identify a set of analytical tools appropriate for the investigation of audience design in translations (e.g. deixis, presupposition);
- using the model for analysis, to conduct both quantitative and pragmatics-oriented qualitative analyses of the data in an attempt to identify any trends in audience design which might be in operation in some or all of the translations in the corpus, compared to the audience design in the original texts, and to explore various types of evidence of audience design in their particular co-text and context, as well as at the overall level of a translated text;
- to ascertain whether there are any differences between the audience design strategies of Romanian native-speaker translators (whose translations into English were published in Romania) and that of English native-speaker translators (whose English translations were published in the UK).

While this study endeavours to explore the nature of audience design in the translations included in the corpus, and to identify trends, it is not within the scope of the present project to distinguish between ‘deliberate’ and ‘non-deliberate’ design, or to make claims about ‘intentionality’ and ‘motivation’. Rather, based on pragmatic analysis of textual evidence, and by considering such evidence within the real-world context which gave rise to particular texts, the study aims to offer plausible interpretations of the factors which might be involved in (deliberate or non-deliberate) audience design (e.g. accommodation, politeness, relevance, genre conventions, and conventions of language use).

### **1.3 Content and structure of the thesis**

First of all, the study seeks to build (in Chapter 2) a theoretical framework for investigating audience design in literary translation. It gives an account of the audience design model set forth by Bell (1984 and 2001), and the related notion of ‘accommodation’, and goes on to review work on audience design in translation which has been conducted so far. By presenting previous research on interactivity and communication in written texts in general, in literature, and in translation, it aims to show the applicability (and, in fact, the necessity) of introducing an audience component into the study of translation. Target-oriented approaches in translation studies, such as functionalism, *skopos* theory, Gutt’s (e.g. 1991/2000) relevance theory



oriented perspective on translation and Toury's (1995) descriptive translation studies (DTS) are then reviewed in order to ascertain the compatibility of translation theory with research on audience design. Finally, a pragmatics-based descriptive approach to the investigation of audience design in literary translations is suggested.

Methodological issues are discussed in Chapter 3, which starts with a brief overview of the use of corpora in research in linguistics and translation, and the advantages and disadvantages involved in using computerised or manual methods of analysis. The stages involved in creating the Romanian-English bilingual corpus of literary translations used in this study are presented and there is a discussion of issues pertaining to the method of sampling and sample size, in view of our concern for representativity and generalisability of findings. The model for analysis used in the study is presented in detail, and the implications of using this particular model (rather than a different model) are discussed. The section ends with a presentation of several notions which are crucial for this research (e.g. translational shifts, markedness), and with a discussion of the status of textual and contextual evidence.

Chapter 4 presents the numerical findings resulting from the manual count of deixis and reference shifts. It identifies trends in shifting, most notably the [+ distance] trend in deictics and the [- definite] pattern in articles, and compares findings from the analyses of the three sub-corpora.

The largest and most important section of the thesis is Chapter 5, which presents the findings of the pragmatic, contextualised analysis of translational shifts involving deixis (time, place, and person deixis) and presupposition (existential presuppositions and cultural presuppositions); the analysis aims to unearth some of ways in which the trends identified in Chapter 4 work in the actual texts, and to explore some of the potential factors involved in shifting. Some of the examples discussed involve shifts along one or another of the parameters used for analysis, but it is more frequent for several types of shifts to be examined together, in order to see how their interaction actively shapes the audience design of translations, making it differ from that of source texts. The section ends with two case studies of longer text units (a chapter from a novel, and a short story), which aim to explore the text-level audience design of the particular translations selected for analysis.

In Chapter 6 the findings from both the quantitative analysis (Chapter 4) and the qualitative analysis (Chapter 5) are submitted to further examination with respect to their relevance for audience design. In particular, it is the aim of this section to discuss findings in terms of what they can tell us about receiver categories (addressees, auditors, overhearers), to compare the audience design in the three sub-corpora, to discuss the issue of translator styles, and to present the case of an individual sample with an unusual pattern of features.

Finally, Chapter 7 reviews the aims, objectives, and methods used in this study, as well as the main findings in relation to the nature of the audience design of the translations included in the corpus, and the trends which are in operation. It concludes with a discussion of the limitations of the study, and with suggestions for further research.

## **CHAPTER 2**

# **THEORETICAL FRAMEWORK: INVESTIGATING AUDIENCE DESIGN IN LITERARY TRANSLATION**

The purpose of this chapter is to review research relevant to a theoretical framework within which audience design in literary translation can be investigated. In 2.1 we focus on the audience design model developed by Bell (1984) and review previous research on translation which seeks to use this model. It is in section 2.2 that we turn to audience design in literary translation and discuss several issues (such as interactivity in written discourse, translation as communication, and the concept of audience in composition theory) which have a bearing on the applicability of the audience design model to literature and literary translation; the aim is to establish that audience design is a relevant issue for translation in general, and literary translation in particular, and to identify some of the ways in which it can be investigated. Some conclusions will be drawn in 2.3.

### **2.1 Audience design and translation**

We start with an account of Bell's (1984) model of audience design and with the related sociolinguistic notions of participation framework and accommodation (2.1.1). We then review previous research on audience design in translation (2.1.2).

#### **2.1.1 The audience design model**

The gist of audience design as developed in Bell (1984) and re-worked in Bell (2001) is that communicators design their style primarily for and in response to their audience. In other words, style itself is what an individual communicator does with language in response to other people. Style is understood by Bell (1984: 161) to refer to all the levels of a communicator's linguistic choices, ranging from the choice of one language



rather than another (in bilingual situations), the way in which words are pronounced, politeness strategies, and the very choice of one word rather than another which could have been selected instead. All of these choices have a bearing upon the identity which the communicator claims for herself or himself, and the way in which communicators position themselves towards their audience (e.g. converging or diverging, discussed later in this section).

Audience design is, according to Bell (2001: 144), part of a dialogic theory of language which holds that “an essential (constitutive) marker of the utterance is its quality of being directed to someone, its *addressivity*” (Bakhtin 1986: 95). For Bell (1984 and 2001) both hearers and speakers are essential to and constitutive of the nature of language and “we should no more conceive of language without audience than of language without speaker” (Bell 2001: 144).

Bell (1984: 160) suggests that a text producer’s style is influenced in different ways and to varying degrees by a number of receiver groups which are potentially part of the audience. It was in fact Goffman (1981) who first developed the notions of ‘participation status’ and ‘participation framework’ and pointed out their influence on production format. By ‘participation status’ Goffman (1981: 137) means that whenever an utterance is produced, every person who happens to be within perceptual range of the event will have some sort of relation to this utterance. The ‘participation framework’ of an utterance, on the other hand, refers to the relationship of all the members of the ‘social gathering’ (to use Goffman’s term) to a particular utterance (Goffman 1981: 137).

Developing Goffman’s (1981) ‘participation framework’, Bell (1984) distinguishes between:

- addressees                      ratified participants in the exchange; their presence is known to the communicator who addresses them directly;
- auditors                         their presence is known and ratified, but they are not directly addressed;
- overhearers                    their presence is known but not ratified, and they are not addressed;
- eavesdroppers                their presence is not even known.

According to Bell (1984: 160), communicators design primarily for addressees. Auditors and overhearers influence style to a lesser degree, while eavesdroppers not at all. Non-audience factors such as setting and topic derive their effect by association with an audience.

In addition to audience groups, communicators are influenced by what Bell calls ‘the referee group’, that is, third persons not (physically) present at an interaction but who possess “such salience for a speaker that they influence speech even in their absence” (Bell 1984: 186). The communicator may be a member of the referee group (in-group) or, on the contrary, may not be a member (out-group); in the latter case, communicators lay claim to attributes and an identity which are not their own but which hold prestige for them. Bell (1984) links referee design to his notion of ‘initiative design’, which we discuss in what follows.

Initiative versus responsive audience design are central to Bell’s (1984) model. The responsive dimension accounts primarily for face-to-face encounters where communicators can adjust their behaviour according to the response and characteristics of the audience (i.e. of the various receiver groups), and according to the situation itself. Initiative design, on the other hand, defines a situation in which it is impossible to obtain feedback as a result of spatial and temporal dislocation between communicator and audience (as in media communication, in most written communication, or in out-group referee design). Bell (1984: 192) argues that all media communication is a case of initiative style design, and is referee designed (i.e. for absent third persons). Media communication, he goes on to argue, creates the relationship between communicator and audience, rather than responding to an existing relationship.

The main problem here is that it is not clear how to distinguish between audience and referees, in the case of media or media-like communication (i.e. where participants are dislocated in space and/or time); Bell (1984) appears to use them quite interchangeably. Secondly, it is difficult - if at all possible - to say whether on a particular occasion a communicator creates a relationship with the audience rather than responding to an existing one. For example, the relationship between media communicators and their audience may be shaped in the course of several encounters, each new encounter building upon the preceding ones; thus, while initiative audience design appears to be



involved in writing a new article, there is also a responsive dimension involved. In fact, even in a new situation (supposing such a situation really exists), communicators do act on the basis of some assumptions about their audience (e.g. about the characteristics of the audience, their likely needs, their potential reaction/response) and respond to these assumptions; admittedly, however, these assumptions are to a large extent the initiative of the speakers themselves. In fact, Bell (2001) revisits a point made earlier (in Bell 1984), namely that the responsive-initiative distinction is a continuum rather than a dichotomy: “response always has an element of speaker initiative; initiative invariably is in part a response to one’s audience” (Bell 2001: 165). Referee design is therefore not separate from audience design.

The question of why audience design should take place at all, and what processes are involved, can be best answered by accommodation theory. Accommodation theory (e.g. Giles *et al* 1991) argues that communicators adjust (i.e. accommodate) to their interlocutors, or, rather, to their own perception of or assumptions about the interlocutors, and that the leading motivation for this is the need for approval, identification or integration (cf. Giles *et al* 1991: 18; Bell 1991: 74). It has in fact been argued that it is actually impossible not to accommodate (Bourhis 1984), and that even (apparent) absence of adjustment is open to interpretation as an orientation in itself, or a statement of attitude.

Accommodation mainly takes place by convergence to or divergence from the interlocutors in terms of values, expectations, linguistic features and style, or by maintenance of the communicator’s own values and language style. It can be deliberate or non-deliberate and is frequently based on unwarranted stereotyping assumptions about other participants, and about appropriate ways of reaching particular aims. Thus, people who think they are converging are at times perceived by their interlocutors as diverging and the other way round (see Giles *et al* 1991). Accommodation then appears to be a complex process whereby people adjust, in a multitude of ways and to various extents, to other people, to their assumptions about other people, and even to what they think others expect them to do.

From here only a very small step further needs to be taken to recognise that the difference between face-to-face conversation, media communication, and written genres such as scientific articles or literature, is smaller than might initially have been thought,

in the sense that in all of them communicators operate on the basis of assumptions, which can be more or less warranted. Admittedly, however, knowing who exactly the interlocutor is (as in the case of face-to-face conversation) does make a difference in terms of the assumptions the communicator is able to entertain, but this is also the case in some written genres such as letter-writing. The problem in recognising the interpersonal dimension of some written genres (and also of some spoken ones) might in fact reside in having to address a large, heterogeneous audience (see 2.2.1.2), rather than in the nature of the medium as such; the difficulty involved in the communicators forming warranted assumptions about other participants may also partly account for written texts appearing to be less interpersonal in comparison with other genres (for further discussion of the interpersonal and interactive nature of written discourse in general, and literature in particular, see 2.2.1).

### **2.1.2 Audience design and translation**

There have so far been very few studies of audience design in translation, in the sense of Bell (1984 and 2001). Hatim and Mason (1997) mention audience design as an indispensable aspect of the process of translation as communication; they use Bell's taxonomy of receiver categories to describe the complex participation framework involved in screen translating and to account for the subtitler's prioritising one group of receivers (the mass auditors in this case) rather than another (i.e. the fictional characters on screen, who are in fact the direct addressees in the dialogues being translated).

It is, however, Mason (2000) who takes the issue of audience design in translation further. He starts by placing audience design in the context of target-oriented and functionalist theories of translation such as *skopos* (see 2.2.2) and argues that the relationship between the various participants in the act of translation as communication can be explored from the perspective of pragmatics. If translating is an act of communication (as *skopos* theory claims it is), it is then reasonable to assume that it is amenable to pragmatic analysis in a similar way to other kinds of interaction (Mason 2000: 2). He goes on to analyse three different translations (primarily in terms of politeness theory) and finds that significant translational shifts can be linked to systematic differences between the audience design of the source text producers and that of the producers of the translations. Mason (2000) suggests that, while describing or



quantifying particular elements in texts cannot account for audience design, matching evidence from the text with information about contextual circumstances enables the researcher to offer plausible interpretations, without, however, warranting claims about motivation or intention. The study concludes by advocating the usefulness of adding an audience design component to functionalist translation theory, as a means of investigating interpersonal (the relationship between participants) and intertextual (socio-textual practices) relations in a variety of target texts and translation situations.

As Mason (2000) suggests, the sociolinguistic notion of audience design is relevant to, and, in fact, indispensable for understanding translation as communication. Very little research so far has, however, used Bell's (1984 and 2001) model of audience design. Mason (2000) gives an indication of some of the findings which could emerge in terms of our understanding of the relationship between producers and receivers, by investigating audience design, and reflects on the appropriate methodology for such a study. Further research is, however, needed to explore the processes involved in designing for an audience, the factors involved and the way in which audience design manifests itself in (translated) texts, in different genres and contexts.

### **2.1.3 Concluding remarks**

The present study seeks to fill part of this gap, by investigating audience design in Romanian to English literary translation. As is often the case in studies which undertake to investigate a relatively unexplored territory, building an appropriate theoretical and methodological framework must be the starting point. Reviewing relevant studies and building the theoretical framework is our concern in what follows (2.2), while considerations of methodology (very different in a study of literary translation from the sociolinguistic experiments which are used for some spoken genres) are discussed in detail in Chapter 3.

## **2.2 Towards a framework for investigating audience design in literary translation**

Audience design is a notion which comes from sociolinguistics, and has been used there in particular with respect to spoken interaction. Applying it to literary communication



and to written translation therefore requires a transfer across genres and modes, the appropriateness of which is explored below in 2.2.1. Several translation theories (e.g. target-orientedness, functionalism, and *skopos*) which, although not focused on audience design as such, have an orientation which enables them to be receptive to the introduction of the audience component, are reviewed in 2.2.2. A pragmatics approach, given its focus on context, participants, and aims and purposes, is an obvious candidate for the study of audience design, and this is discussed in 2.2.3, with particular reference to the present research on audience design in literary translation. Finally, section 2.2.4 positions the present research within the framework of descriptive translation studies (DTS) outlined by Toury (1995) and, more particularly, corpus-based descriptive studies of translation; the corpus-based approach is an issue which will be taken up again in Chapter 3.

### **2.2.1 Literature as communication**

In order to establish the relevance of introducing an audience design component to the study of translation, we start by discussing the interactive nature of written texts in general and literature in particular, and the notion of audience.

#### **2.2.1.1 Interaction in written discourse**

The interactive nature of spoken exchanges has rarely been questioned, marked as it is by a variety of linguistic, paralinguistic and extra-linguistic features (e.g. turn-taking, gestures, mimicry) which clearly signal that communication of some kind is taking place and that the communicators take each other into account in various ways (e.g. adjusting their footing, answering a question). On the other hand, the interactive nature of language has not always been unchallenged (e.g. by formalist theory; see Jakobson and Halle 1956/1980 and, for translation, Jakobson 1959). In any case, spoken conversation has been, and in some ways still is, the yardstick for assessing interactivity, and that most written genres (internet chat being a recent exception) do not display some of the most obvious interactive features of conversation such as the requirement that the participants should be present in the same location, or at least at the same time (as in telephone conversation), and that they should take turns.

It has been extensively argued, however, (by Nystrand 1986 and 1989; Hoey 1988 and 2001; Simpson 1993; Thompson and Thetela 1995; Myers 1989 and 1999, and many others) that written texts are no less interpersonal than spoken communication. Admittedly, differences are inevitable in view of the fact that the media differ. The participants are dislocated in terms of place and/or time, usually there is no turn-taking, and, depending upon the genre, the communicator has greater or lesser access to the audience in terms of actually being able to know who will join the audience, and in terms of receiving some form of feedback. There may therefore be less opportunity for communicators to form warranted assumptions about the audience, particularly if large and heterogeneous; exceptions are written genres such as letters, which usually have a precise addressee.

The process of writing may frequently (though by no means always) be a solitary and private one but the writer is “continually negotiating and balancing what she wants to say with her own expectations of a reader” (Nystrand 1986: 46). Along similar lines, Myers (1999: 40) argues that writers and readers think of each other, imagine each other’s purposes and strategies, and write and read texts in the light of their assumptions. Consequently, writing and reading are interactive and social tasks (Nystrand 1989: 70). Increasingly, works such as those mentioned above see written texts as amenable to analysis in terms of interactional pragmatics. For example, the contributors to the 1991 volume *Literary Pragmatics* edited by Roger Sell look at issues such as politeness, the Cooperative Principle and relevance, and their investigation focuses on theme/rheme, deixis, speech acts, implicature, information density and so on. Similarly, various studies of (written) translation now take a pragmatics-oriented angle. Ehrman (1993) focuses on how presuppositions are handled in translating some texts by Paracelsus, Gutt (1991/2000 and 1998) investigates translation from a relevance theory perspective, Hatim (1998), House (1998) and Schäffner (1998) look at politeness theory, while Richardson (1998) deals with deixis. A smaller number of studies concern themselves with literary translation; thus, Malmkjaer (1998a) investigates the applicability of Grice’s Cooperative Principle to studies of literary translation, Malmkjaer (1998b) focuses on deixis in translations from Danish, while Hickey *et al.* (1993) research presupposition in Spanish novels translated into English. May’s (1994) study of Russian literature translated into English also makes some reference to deixis and junction (for more on pragmatic analysis of translation, see 2.2.3).



The focus has thus shifted from investigating what one writes (as in formalism) to the study of what one writes in certain circumstances, in view of particular aims and purposes, and to what one thinks one must write given other people's expectations or needs. To put it differently, why did this communicator say it this way on this occasion? The contextualisation of the text is extremely important for such an approach (Enkvist 1991a; Sell 1991b).

Although such matters are closely related to audience design (Mason 2000: 6), the influence of the readership on the process of (literary) translation (see 2.2.2 for more on translation as communication) appears to be implicit in the greatest part of research so far, rather than taken up as a subject of study in its own right. More precisely, the scope for investigating the role of audience as a factor in shaping translations is far from exhausted. This may be, in part, due to the ambiguity of the term 'audience' itself; each definition of 'audience' (and there are several angles which can be taken simultaneously) triggers different methodological implications.

#### **2.2.1.2 The concept of audience**

We have already reviewed (in 2.1.1) Bell's (1984) model of audience design and taxonomy of receiver groups, but he does not conceptualise the notion of 'audience' as such. For a definition of 'audience' (especially 'audience' in written/literary communication) we therefore turn to composition theory and reception theory.

The term 'audience' has at least two meanings. On the one hand, it may refer to the actual persons who (will) read the text. On the other hand, 'audience' may refer to audience-in-the-text or implied by the text, that is, "a set of suggested or evoked attitudes, interests, reactions [...] which may or may not fit the qualities of actual readers or listeners" (Park 1982: 249). Either way, audience is a concept central to *all* written genres (Kirsch and Roen 1990: 20) but, admittedly, it is in some cases less stable and predictable compared to the audience of some spoken genres (by no means of all spoken discourse). Audiences have been referred to as 'actual' versus 'invoked' (Kirsch and Roen 1990; Willey 1990), have been said to be a co-author (Duranti 1986) or a fiction (Ong 1975). Lotman (1982) argues that any text in general, and literary

texts in particular, contain in themselves the image of the audience, and he probably means here the image of the audience as perceived by the writer, rather than the actual persons who will read the text.

Much has been written about audience in terms of reader-response/reception theory, and from various perspectives (e.g. rhetorical, Booth 1961; phenomenological, Iser 1974 and 1978; subjective and psychoanalytic, Holland 1968; sociological and historical, Leenhardt 1980, and to some extent Jauss 1970), but the basic tenet is that a work of literature exists only in being read (Damrosch 1980: 91). A writer, *any* writer, is aware that her or his work, if published, will have at least *some* readers. Various models of readership have been put forward, such as the ‘informed reader’ and the ‘interpretative community’ (Fish 1970 and 1980), the ‘actual reader’ (Jauss 1970), the ‘implied reader’ (Iser 1974 and 1978), the ‘model reader’ (Eco 1979), the ‘superreader’ and the ‘average reader’ (Riffaterre 1971), to mention only a few. Iser’s ‘implied reader’, for example, is a concept rooted in the structure of the text; it is a construct which cannot be identified with any ‘real reader’ (another concept used by Iser). The ‘implied reader’ is virtually synonymous with the ‘intended reader’ an author has in mind, and embodies “all those predispositions necessary for a literary work to exercise its effect – predispositions laid down not by an empirical outside reality, but by the text itself” (Iser 1978: 34).

Our purpose here is not to give an account of each and every one of the models mentioned above but, rather, to draw attention to the fact that the audience has been an important topic for certain literary theory approaches in the second half of the twentieth century and, also, to point to the profusion of models of audience/readership which trigger, in turn, substantial differences in the methodology used in such studies, as well as in the very aspects of the writer-reader relationship which are investigated. Considering the substantial disagreement in the area, it is remarkable that most of these studies share the view that the text itself (i.e. the literary work) is an important document which, on its own or combined with other types of evidence (e.g. contextual), can be used to investigate the producer-receiver relationship.

It has already been suggested (in 2.1.1) that the difficulty in designing for an audience in some (written, but also spoken) genres may be due to the fact that the audience cannot be described in terms of ‘one’ (as in telephone conversation, or letter-writing), and not even as ‘several’, but rather in terms of ‘many’. Audiences are heterogeneous



(Leenhardt 1980; Brenneis 1986; Goodwin 1986) and members vary considerably with respect to cognitive environment or investment they are willing to bring to the particular text; if we apply criteria such as age, gender, profession and so on, there may be in fact a variety of audience groups with different needs and preferences. Although in a sense each text self-selects its audience, the criteria according to which this selection takes place are difficult to generalise to another text. Thus, while a scholarly edition of a medieval classic may select a scholarly audience (e.g. academics, researchers, or language graduates), the criterion for somebody to read a translation from Chinese may well have no reference to one's profession or education; it may just be an interest in Oriental countries, or a willingness to read translations (as shown in Venuti 1995, not everybody reads translations). Besides, unexpected participants may join the audience; as Goffman (1981: 131) notes, sometimes people who the communicator supposes are 'listening' are not listening, and on the other hand, someone else may be listening.

In view of the fact that a potential audience is too large, heterogeneous – and therefore vague – an entity to be reasonably workable, Bell's (1984) taxonomy of receiver groups and his suggestion that communicators prioritise a certain group (addressees) above other groups introduces a certain order, although it does not say anything about the criteria according to which this prioritisation will take place. It seems likely, for instance, that a translator from an Eastern European literature into English will target an audience characterised by an interest in this part of the world and who is willing to read translations, perhaps people who are involved in some way in the study of language, literature, or cultural studies. The problem, however, is that even such narrowing down of the addressees still leaves a very heterogeneous group or groups (in terms of other characteristics) to deal with.

Studies such as Myers (1989) or Thompson and Thetela (1995), which investigate the management of interaction in written genres other than literary (scientific articles in the former case and advertisements in the latter) are a helpful background from which to start an investigation of audience design as interaction in texts, and point to a pragmatics-based approach. Thompson and Thetela (1995), for instance, argue that one of the functions of written interaction is to project a 'reader-in-the-text' (a notion similar to Iser's 1974 'implied reader'), with whom actual readers are invited to identify or converge. They distinguish between projected roles, which are mainly achieved by overt labelling of the participants (e.g. *I, you, we*, vocatives such as *Reader, I married*



*him*, or nouns *All Chairmen love being in the driving seat*; Thompson and Thetela 1995: 108-9) and enacted roles, which demand a response on the part of the reader (e.g. questions, commands; Thompson and Thetela 1995: 111-7).

The question of whether, and to what extent, readers should be taken into account, and how, is also one on which there is disagreement. Some researchers (e.g. Nida 1964; Nystrand 1986) argue that a communicator *should* take heed of the audience; this, however, does not settle the issue of how the communicator does this and depending upon the perspective adopted, some communicators may be concerned about ease of comprehension, while others may focus on giving as much information as possible. Other studies (e.g. Newmark 1988: 13) recommend that, in the case of literary translation, little attention should be given to readers, while still others (Gutt 1991/2000) argue that taking receivers/other participants into account happens *all the time*, irrespective of whether one is aware of it or not. Deliberateness versus non-deliberateness in taking the audience into account in translation will be the subject of specific comment in section 3.7.4; for the time being it is important to point out that Bell's (1984) model of audience design assumes that speakers do not deliberately plan their design.

### **2.2.1.3 Conclusions**

To conclude, the fact that an audience is heterogeneous does not mean that it does not exist as a participant in the communication, in a similar way to the addressee of a letter or of spoken language. The problems involved in designing for such an audience may not even reside in having a difficulty in forming warranted assumptions about it, or at least not exclusively, but may be linked to the impossibility of the task of catering for the inherent heterogeneity of large audiences.

Irrespective of how 'audience' is described, as long as a literary text is conceptualised as a communicative event, there is always the reference point - however difficult to define - of the reader. It is then reasonable to suggest that Bell's (1984) model of audience design should be just as applicable here as it is to other forms of communication, and that some form of audience design is always present.

It is not only ‘audience design’ which is central to this study, but the term ‘audience’ itself, and it is used here in alternation with its (in this case) synonym ‘readership’. A broad distinction is made between source text audience or readership and target text readership and the focus is on textual evidence of translators’ assumptions about their potential audience (similar, in a way, to Iser’s ‘implied reader’) rather than the actual target readers themselves, unless otherwise specified (for a discussion of receiver categories, see 6.1).

### **2.2.2 The translation dimension**

As has already been pointed out earlier in this chapter, there have been up to now very few studies of audience design as such, in translation (see, however, 2.1.2). On the other hand, although they do not focus specifically on audience design, several approaches in Translation Studies are extremely relevant because they can accommodate the audience component and because, in fact, some such studies actively point to the participants involved in translating and reading translations, the communication process which takes place, and the aims involved. These will be reviewed in the following sections.

#### **2.2.2.1 Target-orientedness in Translation Studies**

The target-oriented approach, represented by studies such as Even-Zohar (1978), Holmes (1978 and 1988), Toury (1978, 1985, and 1995), Lefevere (1977a and b), Bassnett (1980), Hermans (1985) and others, came into being in opposition to previous approaches which emphasised the primacy of the source text above all other considerations. The above-mentioned scholars argue that the study of translation must be the study of cultural interaction, of issues such as source language and target language cultural environments, translation and publishing agendas, power, ideology, and the influence of patronage upon the selection of texts and translation strategies, dominance and hegemony in intercultural interaction, manipulation, rewriting, reception of the translated work by the target language audience, as well as the construction and displacement of literary canons, migration of themes, literary genres and forms, the status of the translator and of her or his work. This approach takes literary translation as



a principal object of study and concerns itself with the persons and institutions (e.g. publishers, cultural policy makers, the media) involved in the process of selection, translation, publication, and reviewing of the translated work (examples of such studies are Vanderauwera 1985a and b). It then follows the trajectory of the translation in the target literary polysystem (a brief presentation of polysystems theory is made later in this section) in order to see whether it meets with success or failure (e.g. studies such as Venuti 1995). Patterns of dominance and cultural hierarchies are found, which parallel patterns of economic or imperialistic power (e.g. Niranjana 1992; Venuti 1995).

For two decades now target-oriented translation theory has successfully adopted Even-Zohar's (1978, 2000) polysystems approach to the study of literatures. The polysystems theory promotes the idea that human patterns of communication such as culture, language, literature, and society, can be better explored if regarded as systems rather than conglomerates of disparate elements (Even-Zohar 2000: 192). The focus has thus shifted to the analysis of interrelations among the various systems, strata and elements of the polysystem and the detection of laws governing the diversity and complexity of phenomena, rather than their mere registration and classification. Even-Zohar himself makes it clear (Even-Zohar 2000: 192) that the polysystem model aims to surpass the structuralist static and synchronic perspective and to account for how the system operates both 'in principle' and 'in time'. The polysystem is dynamic, heterogeneous and open, continuously reshaping itself as a result of intra- and inter-relations.

A much-debated polarity dealt with by the polysystems theory is that of 'strong' and 'weak' cultures, 'central' and 'peripheral' cultures. Although strongly criticised by recent work in cultural studies (e.g. Bassnett and Lefevere 1998) and especially post-colonial studies (e.g. Niranjana 1992), these distinctions continue to shape dialectic thinking in terms of superiority or inferiority. Progressively replaced by an 'aesthetics of cultural pluralism' (Bassnett 1998: 129), which emphasises description rather than evaluation and hierarchisation, the Europocentric and Western-oriented assessment of literature and translation is still dominant. According to the non-elitist polysystems approach, then, the role of translation within the global polysystem is to facilitate communication and interaction and to displace the traditional polarity between 'central' and 'peripheral cultures'. The polysystems hypothesis acknowledges that canonicity is not an inherent feature of textual activities on any level, and is not an euphemism for 'good' versus 'bad' literature; it is simply evidence of a period's set of norms or



fashions. The same point is endorsed by Lefevere (1992: 1), who argues that the intrinsic value of a work plays much less of a part in its reception and survival than is generally assumed.

Venuti (1995 and 1998) endeavours to show that the political and economic dominance map of the world overlaps with the cultural hegemony map, and with the translations chart. According to him, “translation is uniquely revealing for the asymmetries that have structured international affairs for centuries” (Venuti 1998: 158). Twentieth century ‘*neo-colonial* projects’ are in operation, mainly in the form of pressures to “traffic in the hegemonic lingua franca (English) [...], to promote economic growth” (Venuti 1998: 158, my addition). The statistics presented by Venuti (1995: 14-7) and also by Newmark (1996: 16-7) identify a category of languages which are extensively translated but scarcely translated into, and a category of languages for which the reverse is the case. According to Venuti (1995) this situation correlates with economic and political issues (e.g. the colonial past of Britain, the emergence, in the twentieth century, of the USA as *the* leading economic power) rather than strictly literary reasons. As pointed out by Even-Zohar (1978, 2000), in the Western Hemisphere marginal literatures tend more often than not to be identified with the literature of smaller nations and, in his words, “within a group of relatable national literatures, such as the literatures of Europe, hierarchical relations have been established since the very beginnings of these literatures” (Even-Zohar 2000: 194).

Under these circumstances, translation has followed various patterns across Europe, in the sense that authors from ‘developed’ countries (particularly from the Anglo-American world) have been translated extensively and given a central position in the (European) literary polysystem (Venuti 1998: 187), and consequently a substantial power in reshaping the cultures which received them, whereas Eastern European literatures (with the exception of Russian) have been comparatively less translated, partly because they started arriving at a time when the Western literary system appeared to have already accumulated sufficient stock for its maintenance and development (Even-Zohar 2000: 194). Translation in countries such as the USA or Britain, therefore, takes place sporadically (see Venuti 1995: 12-7), with the best-seller policy in view (Venuti 1995: 124-7), and for reasons of fashion as a result of international events which temporarily draw the attention of the audience towards the East, such as the fall of Communist regimes all over Eastern Europe by the end of the 1980s, the Romanian

Revolution of 1989, the war in Yugoslavia, or, previously, dissident anti-Communist figures such as the Russian writers Solzhenitsyn and Pasternak. It then appears that in strongly consolidated cultures the best-seller has to address major concerns or interests of the target audience at a certain moment in time and “meet expectations that currently prevail in the domestic culture” (Venuti 1998: 124), whereas less confident literatures perform a weaker selection in their import activity and hardly dictate any terms at all (a discussion of Romanian literature translated into English takes place in 3.9.1).

Related to the patterns of dominance which characterise cultural exchanges via translating is what Venuti (e.g. 1995) calls the ‘domesticating translation strategy’. A domesticating strategy aims, basically, “to bring back a cultural other as the same, the recognisable, even the familiar” (Venuti 1995: 18); the reconstitution of the foreign text in accordance with the values, beliefs, and conventions which pre-exist in the target language. One of the principal ways in which this can be achieved is by using, in translations, a fluent discourse which ensures readability, adheres to current usage, eliminates stylistic peculiarities, and conceals the fact that the text is a translation (Venuti 1995: 1). A ‘foreignising translation strategy’, on the other hand, involves less violence to the source text and, in fact, makes a task out of preserving, as far as possible, the otherness of the source text (for a discussion of domestication as a potential factor in non-obligatory translational shifting, see Chapter 5).

The main merit of the target-oriented approach has been to operate a shift of focus from the source text to the complexity of the phenomena, processes, persons and institutions involved in translation, and to offer rich insights with respect to the context (e.g. cultural, political) in which translation takes place. On the other hand, from the point of view of this project, there are also some problematic areas which remain ambiguous and methodologically questionable. The main problem resides in the fact that terms like ‘target’, ‘reception’, ‘receivers’ are taken for granted in the target-oriented approach, while there appears to be a conceptual ambiguity with respect to what exactly they are understood to refer to. These terms are used to designate a great variety of entities, among which are the actual readers themselves, target language cultural institutions, opinion leaders such as the media, and so on; reference to the general public is also made, but it is not clear how reception is assessed in a systematic or reliable way, in the absence of empirical studies (such as those suggested in Schmidt 1982) which could reveal how (translated) literary texts are read and received by actual readers.



A further limitation of many studies adopting a target-oriented approach is that they overlook textual evidence. The translated texts themselves are rarely used in a systematic way, although, theoretically, they are estimated as being of extreme importance. In fact, Toury (1995: 3) warns against the danger of basing claims on anecdotal examples and argues that, however persuasive single examples can be, their importance within the overall translation may also depend upon their representativity. He therefore recommends designing descriptive studies which could investigate patterns in target texts and compare them with the original texts, in order to find evidence of the translators' strategies (the descriptive approach is discussed in 2.2.4). Toury's (1995) advice that we look at source and target texts *and* at the context surrounding the process of translation appears to strike a balance between cultural studies-oriented translation theory, on the one hand, and linguistics-oriented translation studies on the other although, in actual fact, most studies adopt one approach or the other, rather than both at the same time.

#### **2.2.2.2 Functionalism and *Skopos***

Functionalism is also a target-oriented approach. It appeared in German-speaking circles (e.g. Holz-Mänttari 1984; Reiss and Vermeer 1984) and, overall, has less of a literary orientation compared to the studies mentioned above.

The functionalist approach to translation is so named on account of the fact that it considers the function of the target text, within the target culture and geared towards target addressees, to be the overriding factor in any act of translation (e.g. Vermeer 1996; Nord 1991a and b). It is more practice-oriented than target-oriented studies of literary translation, and develops an 'action frame' (Vermeer 1996) within which translation is supposed to take place, and which includes the initial producer(s), the commissioner, translator, and recipient. To this, Vermeer (e.g. 1996) adds another component, which he calls *skopos*. Starting from the assumption that all human actions presuppose a point of departure and a purpose which gives the direction, *skopos* theory holds that translating is a purposeful activity, and that translation strategies are determined by the *skopos* (aim, purpose) to be reached. Clearly, then, the issues considered to be important in *skopos* theory are similar to those discussed, for instance,



in pragmatic studies of written texts (see 2.2.3 below); the focus here is on aims, purposes, and particular context. Admittedly, however, the methods of investigation used in *skopos* research are not anchored in a pragmatics perspective as such.

*Skopos* theory holds that translators always have an idea (or, rather, an assumption) about their addressees even in cases where it would seem more probable that they can not, such as when literature is involved. Even if a translator is to address the world at large, this is still a kind of audience, although it may not help much in terms of what translational strategies to adopt; the difficulty, according to Vermeer (2000: 227) is “not that there is no set of addressees, but that it is an indeterminate, fuzzy set”. He further argues that, in the absence of a specification with respect to who the audience is, the tendency of the translators is to orient (deliberately or not) towards a certain restricted group selected from all the potential groups, and to use their ‘self-evaluated level’ (or cognitive environment, to use Sperber and Wilson’s 1986 term) as an implicit criterion (Vermeer 2000: 227). This links with observations by other researchers who suggest that sometimes translators translate “over the head of their audience” (Nida and Taber 1974: 99), or, conversely, that they may offend target readers by assuming they are not aware of certain issues or entities (Fawcett 1998: 121). To put it differently, it appears that translators operate on the basis of assumptions about their readership, which is exactly what audience design is about (see 2.1.1).

*Skopos* theory generalises to literary translation statements which apply in a more obvious way to other genres (e.g. instruction manuals, business letters). Vermeer himself is aware of this potential criticism but seeks to counteract it by arguing that literature is not a purposeless activity, nor is literary translation; in literary translation, as much as in daily life, even when people appear not to have a purpose or are themselves not aware of having one, they may still have a purpose (Vermeer 2000: 224-5). This is similar to the accommodation theory tenet (e.g. Giles *et al* 1991) that, for instance, adjusting may take place not only without the communicators being aware that they are accommodating and of the reasons and aims for this, but that it can happen in a contrary direction to what communicators themselves believe they have adopted (also see 3.7.4 for a discussion of deliberateness, motivation, and intention in translation).

While *Skopos* does, theoretically, allow for cases when an intended purpose is not fulfilled (e.g. receivers may misinterpret it), it is in fact quite prescriptive in taking for

granted that translators, as bi-cultural experts, know (or should know) how to design for a particular purpose or for intended recipients (Vermeer 2000), and that they are aware of the consequences their translational actions have within the target context, the effect the translated text will have, and the difference which could have been made by the choice of one translation strategy rather than another. Statements such as “one *must* know [...] what the consequences of such actions are” (Vermeer 2000: 229, emphasis in the original text) or “the translator *should* be aware that *some* goal exists” (Vermeer 2000: 228, second emphasis in the original) point to an ideal (and generalised) view on translation, which practice frequently disproves (Venuti 1998: 3).

Finally, an inherent problem in a theory such as *skopos* or, for that matter, functionalism, is that one factor involved in translation is elevated above the others (‘purpose’ in the first instance, and ‘function’ in the second). While it is important to recognise that *skopos* and function are actively involved in shaping translations, basing a full theory of translational activity on either of them can at best lead to a partial account. As will be discussed in Chapter 5, other factors are also involved, such as considerations of source text, conventions of usage and genre conventions, translational norms, and, last but not least, assumptions about the audience (i.e. audience design). It can of course be argued that none of these factors act in isolation and that, more often than not, translations are shaped by their interaction<sup>1</sup>.

Functionalism and *skopos* afford several useful insights for our study of audience design in translation. First of all, they support a communicative view of translation (see also section 2.2.2.3 below). Secondly, by introducing the notion that translators orient themselves towards a certain group of the audience, rather than speaking to the entire world (Vermeer 2000: 227), and that communicators have a purpose even though they may not be aware of it, *skopos* opens the door, as it were, for an exploration of the relationship between translators and their audiences. It prepares the ground for a view that assumptions (rather than factual knowledge) may need to be taken into account in order to explain translational behaviour, and, finally, suggests that non-deliberate (besides deliberate) behaviour may be involved. All of these are, in fact, major components of the audience design and accommodation perspective of interaction.

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<sup>1</sup> Gutt (1991/2000) claims to address the issues discussed above by submitting that the Relevance Principle (Sperber and Wilson 1986) is sufficient as an account of translation.



### 2.2.2.3 Translation as communication

There have been studies (e.g. Hatim and Mason 1997) which bring to the fore, in a more explicit way than the target-oriented research reviewed above, the communicative and interactive nature of the translation activity (which are crucial for the study of audience design). Hatim and Mason's (1997) view is that all types of translation act are "essentially [...] acts of communication, in the same sense as that which applies to other kinds of verbal interaction" (Hatim and Mason 1997: vi), and that all texts, even apparent exceptions such as self-expressive genres (e.g. poems), "are nevertheless composed in the full knowledge that they are likely to be read and to elicit a response"<sup>2</sup> (Hatim and Mason 1997: vi). This then leads to an investigation of translation as an act of communication which takes place within a particular socio-cultural context and is subject to specific socio-textual practices. This act has as a starting point a previous act of communication which was operative in a different context, involving another set of participants (for a discussion of the appropriateness of pragmatic analysis of translation as communication, see 2.2.3).

### 2.2.2.4 Conclusions

Approaches to translation such as target-orientedness, particularly functionalism and *skopos*, increasingly take into account the particular context surrounding translation and (where applicable) publication, and the participants involved (source text writers, translators, editors, readers); in spite of this, however, little research has so far been conducted on the audience and the audience design dimension of translation in general and literary translation in particular, using Bell's (1984 and 2001) model.

A study of the relationship between participants and the way in which it is reflected in the translated text, can be successfully accommodated within a communicative view of translation, as pointed out by Mason (2000) (see 2.1.2), who argues in favour of adding an audience design component to the study of translation. In his opinion, translation

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<sup>2</sup> Another statement in support of a communicative view on literary translation comes from Snell-Hornby (1988/1995: 114), who argues that literary translation is "as much an act of communication as any other translation".



research cannot, in fact, afford to overlook the dynamic processes which take place as the interaction between participants unfolds (Mason, 2000: 19).

### **2.2.3 Developing a model for the analysis of audience design: the pragmatics-oriented approach**

We have so far presented Bell's (1984) audience design model and argued that, from a communicative and interactive view on translation in general and literary translation in particular, an investigation of audience design should be just as relevant as in the case of other forms of interaction. The way in which audience design in literary translation can actually be investigated, and the types of findings which can be expected, are discussed here from a theoretical point of view (methodological considerations pertaining to the present study, such as creating and sampling the corpus, methods of analysis and the model to be used for analysis, are in Chapter 3).

The difficulty encountered in this study, with respect to the method to be used for investigating audience design, is mainly due to the novelty of the project. Designing experiments of the kind Bell (e.g. 1984 and 2001) and other sociolinguists (e.g. accommodation theorists) conduct are not possible in a study of full-scale translations which are already published. Sociolinguistic studies attempt to keep (as far as is possible) all the variables constant with the exception of those whose relationship is under investigation (e.g. the communicator's style and the social category the receivers belong to). A similar experiment, in translation, would need to involve, for example, a single translator translating the same text several times for a different audience (e.g. uneducated persons in the first instance, and then educated receivers, female/male readers, and so on); the differences in style between translations could then, in a fairly confident way, be attributed to the translator's audience design. It is then clear that a study of audience design in literary translation has to proceed in a different way.

#### **2.2.3.1 The case for a pragmatics-based approach**

Pragmatics is the study of language in relation to its users (Mey 1993: 5), and investigates the ways (and conditions) in which communicators achieve their aims, and

bring about modifications in the behaviour, beliefs, and attitudes of other people (Levinson 1983). It has already been mentioned (in 2.1.2) that Mason (2000) suggests that a pragmatics approach can provide methods for the study of the relationship between various participants involved in a translation act, and its impact on the text itself. This is, in fact, an extension of the communicative and interactive view on translation adopted in studies such as Hatim and Mason (1990 and 1997); several other studies which take such a perspective on translation and literature, and on written texts in general, also advocate a pragmatics approach (e.g. Richardson 1998; Hatim 1998; Myers 1999).

If translation is regarded as an act of communication, then there is no reason not to examine it in terms of pragmatics; source text producers, translators, and target text receivers are no different from any other kind of communicator. For example, Mason's (2000) analysis of two examples from a historical genre is particularly focused on politeness phenomena such as power and distance; it is mainly based on textual evidence of audience design but also draws on contextual factors such as the identity of ST writers and translators, and considerations of genre and conventions, in an attempt to combine a 'dematerialising' with a 'rematerialising' approach (to use Myers's 1999 terms). A 'dematerialising' approach is, according to Myers (1999: 58), one which dismantles texts into sets of features in relation to each other; it is very well complemented (and, in fact, to a certain extent they cannot even be totally separated) by a 'rematerialising' approach which involves contextualisation (e.g. putting participants, time, space, and other extra-textual circumstances back into the equation) (Myers 1999: 59).

The priority given in the present study to the investigation of textual evidence (see 3.8 for a discussion of the feasibility, in this case, of an ethnographic study involving actual translators and readers) is based on a view of the text as "a document of decision, selection and combination" (Beaugrande and Dressler 1981: 35), which then leads to the conclusion that "many occurrences are significant by virtue of other alternatives which could have occurred instead" (Beaugrande and Dressler 1981: 35). A similar position (but with even more emphasis on the communicative dimension of texts) is advocated by Brown and Yule (1983: 26). They suggest looking at a text as "the record of a dynamic process in which language was used as an instrument of communication". Finally, according to Vermeer (1996: 102), "there is no random choice, although



sometimes it may seem so to an observer and even to an actor”, a view also endorsed by Hatim and Mason (1990: 4) when they talk about ‘motivated choices’ (‘motivated’ here does not necessarily imply deliberateness; rather, it means that there is a particular reason for everything that happens in a translation).

The view of discourse outlined above is, then, one of process rather than product; any text is the outcome of a complex interplay of factors and could look very different, had other factors been at work. The various operations a text (e.g. a translation) goes through before it is completed leave their imprint on the text itself, and can take us back to the meanings and purposes of the communication (Beaugrande and Dressler 1981: 33). What this actually means is that the pathways of the translators’ decision-making processes (deliberate or not) can be partly retraced by looking at the text as evidence of communicative interaction (Hatim and Mason 1990: 4).

If, as suggested in Bell (1984: 161), audience design informs “all levels of a speaker’s linguistic choices”, we are then faced with a multitude of types of text features which *could* be interpreted as evidence of audience design<sup>3</sup>. Bell himself mentions a number of parameters, including a complete switch from one language to another in bilingual situations, speech acts, pronoun choice, and the use of honorifics (Bell 1984: 161). The list can, however, continue indefinitely, including features such as theme/rheme, various types of presupposition, junction, modality, transitivity, deixis, or politeness markers such as hedges (for a discussion of the processes involved in creating the model for analysis used in this study, see 3.6).

Several studies taking a pragmatics angle on translation and on literature, and a smaller number of studies which look at literary translation, were mentioned in 2.2.1.3. While they focus on different features of translated texts (usually a single feature, considered separately rather than in interaction with other parameters; see 2.2.1.3), what they have in common is the attempt to “explain translation – procedure, process, and product – from the point of view of what is (potentially) done by the original author in or by the text, what is (potentially) done in the translation as a response to the original text, how and why it is done in that way in that context” (Hickey 1998: 4). The insistence on

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<sup>3</sup> See section 2.2.3.3 below, and also 3.7.2, for a discussion of the difficulty, when investigating literary translation, of isolating audience design as a reason for linguistic choices from other factors which may also be involved.



‘potential’ is a result of the methodological difficulty in attributing intention, and in defining effects.

In what follows we briefly look at a number of pragmatics notions which will inform our analysis in Chapter 5, and we start with that of conversational implicature.

### 2.2.3.2 Conversational implicature

The notion of *conversational implicature* is one of the central ideas in pragmatics (Levinson 1983: 97) because it provides an explicit account of how it is possible to mean more than what is actually ‘said’.

Grice’s (1975 and 1978) theory of meaning is essentially a theory about language in use, the main tenet of which is the suggestion that there is a set of over-arching assumptions which guide communication. Grice identifies four basic *maxims of conversation*, or general principles, which together express a general *Co-operative Principle*. They are summarised as follows:

#### *The Co-operative Principle*

Make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged.

#### *The maxim of Quality*

Try to make your contribution one that is true.

- a) do not say what you believe to be false
- b) do not say that for which you lack adequate evidence

#### *The maxim of Quantity*

- a) make your contribution as informative as is required for the current purposes of the exchange
- b) do not make your contribution more informative than is required

### *The maxim of Relation*

Be relevant

### *The maxim of Manner*

Be perspicuous.

- a) avoid obscurity of expression
- b) avoid ambiguity
- c) be brief
- d) be orderly

The most obvious objection to the co-operative principle and to Grice's maxims is that people do not always speak like this, but then Grice himself admits that conversationalists do not follow the maxims to the letter or at least not all the time. His point is, rather, that when talk does not proceed according to the specifications of the maxims (i.e. when the maxims are flouted), hearers assume that (contrary to appearances) the maxims are being adhered to at some deeper level. In such cases, inferences arise to preserve the assumption of co-operation and Grice calls them *implicatures*. For example, if A asks B the following question: "Who was your date at the party last week?" and B answers "It was a great party, actually", rather than assuming that B is un-cooperative (in that they do not abide by the maxim of relation), A may infer either that B does not wish to give this piece of information, or perhaps that B cannot talk under the circumstances (e.g. because A and B are within hearing range of somebody who is not supposed to find out). Whenever language is used, then, communicators have to rely on the fact that the other participants (in the case of this study, the audience) will be able to draw a number of inferences in order for successful communication to take place; this inevitably involves assumptions about the types of inferences a particular audience is able to draw.

#### **2.2.3.3 Politeness**

In view of the interpersonal nature of audience design, it is plausible to suggest that there may be links between audience design and other aspects of textuality which pertain to the relationship between participants. Another area of pragmatics which deals explicitly with the interaction between producers and receivers, and the way in which



this interaction governs linguistic choices and strategies, is Politeness Theory. Politeness Theory was developed by Brown and Levinson (1978/1987), within a Gricean framework. A detailed account is outwith the scope of the present project, but insights from it will be useful in interpreting (in Chapter 5) evidence of audience design.

The gist of Politeness Theory is that face-threatening acts (FTAs) are an inevitable part of interaction, and that a main concern for people, in communicating, is to preserve their own face (cf. Goffman 1981) (both ‘negative face’, that is, the want to remain unimpeded, and ‘positive face’, or the want to be approved of and to feel part of a group) and that of the interlocutor. To achieve this, various strategies are used to cope with face-threatening acts, i.e. verbal acts which may be perceived as threatening the positive or negative face of participants. These strategies mainly fall into two categories: *off record strategies* (saying nothing), and *on record strategies*. The latter involve either going bald on record or mitigating a potential FTA by employing *positive politeness strategies* (e.g. claiming solidarity, for example via the use of inclusive pronominal forms such as ‘us’, ‘we’) or *negative politeness strategies* (mitigation of FTAs, hedging, for instance by using passives or modal verbs). Considerations of Power and Distance are involved in any such strategies. Analysis (see Chapter 5) will seek to assess the extent to which politeness considerations may be involved in audience design or, more precisely, to ascertain whether the nature of the audience design in our corpus of literary translations from Romanian into English can be described in terms of (positive or negative) politeness strategies.

As in the case of audience design, which was initially developed on the basis of spoken data, a concern about the applicability of Politeness Theory to our corpus might be that it is a corpus of written texts. However, recent studies (e.g. Myers 1989; Hatim 1998) increasingly deal with politeness in written interaction and suggest that politeness strategies are present in written texts in much the same way as in spoken communication.

Myers (1989) claims to establish the identity of the expected audience (like Bell, he distinguishes between addressees and auditors) and to assess the writer-reader relationship by looking at linguistic features rather than endeavouring to assess the identity of the participants prior to the text (in Brown and Levinson’s 1978/1987

account, considerations of Power and Distance precede the particular interaction)<sup>4</sup>. Myers identifies FTAs and politeness strategies used to mitigate FTAs in scientific articles, and finds evidence of positive politeness strategies which emphasise the solidarity between writer and reader, and also of negative politeness strategies which involve hedging. According to Myers (1989), the relationship between participants is negotiated and renegotiated as the interaction unfolds, rather than being fixed at the very beginning; the approach taken is, in fact, bi-directional, in the sense that the world (including other participants) influences the interaction (according to Bell, this is the 'responsive' dimension of language use) but at the same time the text re-defines the situation (the 'initiative' dimension of audience design).

Sell (1991), working with literary texts, makes a distinction between politeness *in* texts (where the focus is on the interaction of characters) and the politeness *of* texts, the latter notion pertaining to the overall level of the interaction between the writer of the literary text and readers. According to him, entire texts may be 'polite' or 'impolite', depending on the degree to which they conform to the expectations of the readers. Hatim (1997 and 1998) uses criteria such as relevance and expectations in order to define what the 'politeness' or 'impoliteness' of texts may be taken to mean.

#### **2.2.3.4 Relevance**

Considerations of relevance (Sperber and Wilson 1986) may also help to account for audience design in translation. In fact, Gutt (e.g. 1991/2000) claims that relevance theory on its own is sufficient to give a full account of translation in general. While Gutt's view on translation is not adopted in this study, the relevance framework can offer useful insights into audience design, and will therefore be examined briefly in this section.

First of all, it is important to note that the way in which Relevance theory defines style is not dissimilar to that suggested by Audience Design, namely that style is essentially linked to the relationship between communicants. We have already mentioned accommodation and politeness as factors which may explain style (i.e. audience design,

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<sup>4</sup> In actual fact, however, Myers also starts off with a number of assumptions about participants, including the audience.



according to Bell), and now add considerations of cognitive environment and processing ability, all of which are supplied by the relevance framework (a cognitive environment is “a set of assumptions which the individual is capable of mentally representing and accepting as true”, Sperber and Wilson 1986: 46). According to Sperber and Wilson (1986: 217), “choice of style is something that no speaker or writer can avoid [...]. In aiming at relevance, the speaker must make some assumptions about the hearer’s cognitive abilities and contextual resources, which will necessarily be reflected in the way she communicates, and in particular in what she chooses to make explicit and what she chooses to leave implicit”. A logical conclusion, based on the statement above, would then be that by examining the style of a communicator, information can be gathered on assumptions about the receiver’s (reader’s, in our case) cognitive environment, processing abilities, level of attention, as well as on how much guidance the text producer gives the receiver to support the processing of the text. Differences in style are, Sperber and Wilson (1986: 224) argue, differences in how relevance is achieved<sup>5</sup>.

Human cognitive processes, according to Sperber and Wilson, are geared towards achieving the greatest possible effect for the smallest effort (a cost-benefit perspective). From a text linguistic perspective, Beaugrande and Dressler (1981: 34) introduce a similar cost-benefit analysis when they distinguish between *efficiency* (the running of operations with a minimum of resources; processing ease), *effectiveness* (the intense use of resources in order to achieve processing depth) and *appropriateness* (which determines the correlation between current occasion and the receivers, and the way in which the text needs to be constructed). According to Sperber and Wilson, the main aim of any communication is to effect a change in the cognitive environment of the interlocutor. Individuals achieve the desired effect with the smallest effort by focusing on what seems to them to be the most relevant information. By communicating, people claim somebody else’s attention and thereby imply that what is communicated is relevant; the fundamental idea that communication comes with a guarantee of relevance is the principle of relevance itself (Sperber and Wilson 1986: vii).

The notion of context is central to a relevance account of communication. Context is described here as a set of premises used in interpreting utterances, and a subset of the

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<sup>5</sup> Compare this with Bell’s (1984) statement that differences in style are due to audience design. The two views are not, however, incompatible; rather, they are interconnected.

participants' assumptions about the world; it is not limited to information about the physical environment or immediately preceding utterances, but includes expectations about the future, religious beliefs, memories, and so on. A speaker who intends an utterance to be interpreted in a particular way must either expect the receiver to be able to supply a context which allows the intended interpretation to be recovered, or else must supply this context for the receiver, because a mismatch between the context envisaged by the speaker and the one used by the hearer may lead to misunderstanding. Gutt (e.g. 1998) argues that although such mismatches are not limited to translation, they are most obvious in translation, due to the transfer from one language and context to another (for a discussion of relevance-oriented translational shifts in our corpus, see 5.2.2).

Very useful for our investigation of audience design is Sperber and Wilson's contention that notions such as 'common knowledge' or 'mutual knowledge' should be replaced by 'assumptions'. Communicators' behaviour is influenced by their assumptions about the world, and by their assumptions about other people's assumptions. Except on rare occasions (when being explicitly told), people do not have direct evidence about other individuals' assumptions; on the other hand, when they share cognitive environments with other people, communicators do have some kind of evidence of what is manifest to them, but this evidence can never be taken to be conclusive (Sperber and Wilson 1986: 45) (see 5.2, and especially 5.2.1, for a discussion of a particular type of evidence with respect to audience design in literary translation, from a relevance perspective).

Finally, relevance is a matter of degree, and it is possible for communication to be less than optimally relevant in spite of the communicators' endeavour to ensure it is, or at least to make the interlocutor believe it is.

### **2.2.3.5 Conclusions**

A pragmatics-oriented approach to the investigation of audience design in literary translations seems particularly appropriate in view of its ability to deal with language in use and the interpersonal dimension of texts, which is essential to a study of audience design. The communicative and interactive nature of writing in general (and literature and translation in particular), which has been increasingly recognised, has led in recent



years to a surge of studies which take a pragmatics view on written texts. While pragmatic studies of literary translation have been comparatively less numerous, there is no reason why translated literary texts should not be amenable to pragmatic analysis, in the same way as other (written) texts are. Studying audience design via the pragmatic analysis of linguistic parameters such as deixis, presupposition, or junction is expected to unearth some of the assumptions translators entertained about their audience, which are recoverable from the text via the analysis of non-obligatory translational shifts (see 3.7.1 and 3.7.2), and to ascertain whether, and to what extent, translations position the readers (by the use of a different style, involving aspects such as those mentioned above, e.g. deixis) in a different way compared to the source texts. The nature of the findings, or, rather, the specific aspect of audience design to be explored<sup>6</sup>, will, of course, depend on the particular parameters included in the final model for analysis used in this study (see 3.6.3).

#### **2.2.4 The case for a descriptive approach by corpus**

Translation studies is an empirical discipline, in as much as it aims to describe the processes and phenomena which are at work in translation, and translations themselves. There have also been endeavours to find general principles which could explain and predict phenomena, as well as attempts to decide on matters such as good or bad practice. The first approach is descriptive translation studies (DTS), while the second (normative) one is known as theoretical translation studies.

Descriptive translation studies is the approach which stands in closest contact with the empirical phenomena under investigation (Holmes 2000: 176). It includes a *product-oriented* branch (which concerns itself with text-focused translation description, and with the comparison of several translations of the same work; see, for instance, some of the analyses in Bassnett 1980), a *function-oriented* approach (which is different from Functionalism; this branch of DTS deals with source and target contexts, and the place and function of translations within the receiving culture, e.g. Lefevere 1992; Bassnett and Lefevere 1998), and, finally, a third branch is *psychological and process-oriented*

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<sup>6</sup> For instance, analysis of shifts in sentence length may be revealing of translator assumptions about processing ease; on the other hand, an analysis of deixis may point to an approximating or a distancing positioning of the readers. Each parameter on its own is revealing of a particular aspect of audience design; together they offer a wider picture of the audience design of a particular translated text.

DTS (which investigates the processes in the translator's mind during the act of translating, e.g. Lörscher 1991; Jääskeläinen and Tirkkonen-Condit 1991).

Toury (1995) sets out a method for the comparison of STs and TTs, which involves several steps including situating the target text within the target culture system (a suggestion which comes from Even-Zohar's polysystems framework), comparing ST and TT (and attempting generalisations about *norms* of translation), and, finally, drawing implications for further research (Toury 1995: 36-9 and 102). A central area of the methodology proposed by Toury is the second step, more precisely the decision of what to look at in texts.

There have been calls within DTS, most notably from Toury (1995) and Baker (e.g. 1993), for conducting systematic analyses of translations, rather than basing claims on anecdotal or isolated instances. Corpus-based translation studies appears to overcome many difficulties encountered previously by researchers, most notably issues of representativity and generalisability of findings, but also (in its computerised form) to problems linked to managing large amounts of data. A detailed discussion of the corpus-based approach, and examples of corpus-based studies of translation, can be found in Chapter 3.

The present study is firmly rooted in the Descriptive approach, which is particularly appropriate here in view of our aim to investigate what actually happens in the translations (i.e. what kind of audience design is present) rather than to make suggestions about what *should* have happened. Finally, a corpus is used here and systematic analysis (see Chapter 3) is conducted, in order to obtain reliable and representative findings.

### **2.3 Concluding remarks**

Audience design has so far mainly been investigated by studies in sociolinguistics, and on spoken data, but the communicative, interactive, and interpersonal nature of (literary) translation warrants the assumption that audience design is present in literary translations just as in any other form of language use. In fact, while translation studies so far has not explicitly studied audience design (with the exception of Mason 2000),



the fact that it has increasingly focused on aspects linked to context, participants, *skopos*, and translation as communication has prepared the ground for introducing the audience component to the study of translation. A pragmatics-oriented approach, which takes into consideration context, users, and aims and purposes, is able to supply the tools for the analysis of translations and source texts and will be used in this descriptive study. Finally, working on a corpus can help ensure a systematic approach and better representativity.

## **CHAPTER 3**

### **METHODOLOGY**

The aim of this chapter is to describe the methodological framework of the present study. It starts with a brief overview of the use of corpora in linguistics and translation studies (3.1) and goes on to discuss the pros and cons of qualitative and quantitative methods of analysis (3.2) and of computerised versus manual analysis (3.3) in view of the aims and constraints of a study such as this. The creation of the Romanian-English corpus of literary translations is described in 3.4, and issues of sampling and representativity are dealt with in 3.5. The model for analysis is the subject of 3.6. Section 3.7 deals with key notions with which this study operates, and 3.8 discusses the usefulness/feasibility of an ethnographic study to support evidence of a textual and contextual nature. Finally, 3.9 is about translations from Romanian literature into English, in general, and the translations in the corpus, in particular. A summary of the Methodology chapter is in 3.10.

#### **3.1. The use of corpora in Translation Studies**

A linguistic and/or translation studies corpus is a collection of texts which are “put together for a particular purpose and according to explicit design criteria in order to ensure that it is representative of the given area or sample of language it aims to account for” (Baker 1995:225). Corpora vary in size, and they now tend to be computerised, and used primarily for quantitative analysis (e.g. the Canadian Hansard Corpus). Smaller scale corpora for manual analysis continue to be used, however, particularly for qualitative analysis (e.g. McLaren’s 1999 corpus of French and English corporate brochures).

Corpora (e.g. the British National Corpus, the Collins COBUILD corpus) were used for empirical, descriptive studies of language (e.g. grammar, the compilation of dictionaries, producing teaching materials) before they were used to study translation.



In her 1993 paper entitled “Corpus Linguistics and Translation Studies”, Baker signals the potential of corpus-based research for Translation Studies and argues that the application of a corpus linguistic methodology to the empirical study of translation could have a significant contribution to describing and explaining translation and, in her words, to uncover “the nature of translated text as a mediated communicative event” (Baker 1993: 243).

Since 1993, a growing number of scholars have come to regard the corpus-based approach as a viable methodology for the systematic study of translation, and a number of corpora have come into being. The most well-known is probably the TEC (the Translational English Corpus), held at UMIST (Manchester), which is a computerised corpus of translations into English from a variety of source languages, and from a number of genres (e.g. literature, in-flight magazines, newspaper articles); the TEC is not a parallel corpus, as source texts are not included. A variety of text-processing operations such as identifying type-token ratios, key words, lexical densities, or word frequencies can be run on a computerised corpus such as the TEC. On the other hand, an example of a non-computerised literary corpus is Vanderauwera’s collection of Dutch novels translated into English, which she analyses manually and uses for qualitative analysis (see Vanderauwera 1985a and b).

The proportion of corpus-based research which takes a pragmatics/discourse analysis angle has to date been relatively small (McEnery and Wilson 1996: 98), and this is probably because pragmatics is precisely about context, and therefore more amenable to qualitative rather than quantitative analysis – while the whole point of having a computerised corpus at all is to process quantitatively large amounts of texts (see, however, Louw 1993).

According to Baker (1995: 230) there are three main types of corpora which are either already being used for translation research, or need to be set up: parallel corpora, multilingual corpora, and comparable corpora. A parallel corpus involves two languages and comprises source texts and translations; an example is the Hansard Corpus which consists of the proceedings of the Canadian Parliament in English and French. Multilingual corpora can either include translations of the same source texts into two or more languages, or else can be sets of two or more monolingual corpora built on the basis of similar design criteria, which ensures their comparability. Finally,

comparable corpora for translation research (e.g. TEC) consist of separate collections of texts in the same language, one of which is a collection of original texts in that language and the other a comparable collection of translations into that language.

Among the advantages of using corpora for research are: a more systematic approach, a more reliable source of frequency-based data, and the ability to obtain more widely generalisable findings than could be drawn from single, individual texts (McEnery and Wilson 1996, Baker 1993 and 1995). Further advantages and several disadvantages to corpus work are mainly linked to issues of qualitative versus quantitative and manual versus computerised analysis, and will be discussed in 3.2 and 3.3 respectively.

### **3.2 Qualitative versus quantitative analysis**

Quantitative analysis classifies features, counts them, and constructs statistical models to explain what is observed (McEnery and Wilson 1996: 62). Qualitative analysis, on the other hand, does not attempt to assign frequencies; it is an in-depth analysis which can take into account the context of the phenomena which are analysed (Miles and Huberman 1984). Quantitative analysis is usually considered to be more precise, objective, statistically reliable and generalisable, compared to qualitative methods whose results cannot be extended to wider populations with the same degree of certainty but which, on the other hand, can provide greater richness and make fine distinctions where fuzzy sets are involved<sup>7</sup>. In view of their respective advantages and disadvantages, qualitative and quantitative methods have increasingly come to be seen as complementary and the benefits of a multi-method approach are now recognised (McEnery and Wilson 1996: 63).

In view of the pragmatics angle taken by the present research, it is especially important for qualitative analysis to be performed (see Chapter 5), because contextualised analysis is vital here and because not all pragmatic features can be readily classified and made amenable to counting (cf. Myers 1989: 6). Deictics such as demonstratives, existential presuppositions expressed by definite or indefinite articles, and explicit junctives are

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<sup>7</sup> For a discussion of qualitative versus quantitative methods in the study of natural language see Lavandera (1978). Frequency of occurrence alone cannot exhaust the interpretative possibilities of a phenomenon.



exceptions in that they are closed sets and therefore countable, but adverbial phrases for instance are an open set which can be dealt with by manual counting but which would be more difficult to count by computerised means. On the other hand, cultural presupposition is a very fuzzy set and difficult to count at all.

Nonetheless, quantitative analysis (see Chapter 4) is an equally vital part of this study and complements the qualitative analysis. Numbers/frequency of occurrences for those parameters which *can* be counted may point to (statistically reliable) trends or, on the contrary, show the lack of a trend, and such findings can be significant for our analysis of pragmatic phenomena which currently relies on qualitative methods (McEnery and Wilson 1996: 99), which are liable to accusations that findings cannot be claimed, with any certainty, to be representative.

The present study, then, aims to produce findings which are both statistically significant and reliable, and to offer in-depth, contextualised interpretation of the phenomena under scrutiny. A combination of quantitative and qualitative methods will be employed, but the main focus will be on qualitative analysis of data; statistics will be used to give an indication of the representativity of the findings (where phenomena are amenable to counting).

### **3.3 Manual versus computerised analysis**

The design of the corpus itself is inextricably linked to the method of analysis to be performed (computerised or manual). More text can be included if computerised analysis is to be performed, but only smaller-scale corpora, or samples from corpora, can realistically be processed manually. In what follows the arguments for and against computerised and manual analysis are briefly discussed, in relation to the aims and constraints of the present study.

#### **3.3.1 Computerised analysis: advantages and disadvantages**

A machine-readable Romanian-English translational literary corpus would have the advantage that more text could be analysed and therefore findings could be generalised

more widely than would be the case if less text were processed, manually. The count would be objectively performed by the machine. Computer analysis of a large corpus would add credibility and weight to the findings. Finally, an additional advantage would consist in the ease with which a set of operations (e.g. frequency counts), which would otherwise take a long time to perform, could be done by the machine.

There are a number of difficulties involved in computerising such a large corpus, among which the fact that the texts (novels and short-stories) would need to be scanned and held on disk, for which purpose the copyright holders' permission would need to be obtained. Secondly, if computerised analysis were to be performed, tagging would be necessary in order for the computer to differentiate between instances when, for instance, 'this' or 'that' (for a description of the model for analysis see 3.6) are demonstrative pronouns/adjectives and part of the noun phrase, and instances when they are part of the adverbial phrase on the other hand, so that they can be counted in the right category (the distinction is important in this study). Furthermore, a software programme able to deal with Romanian articles, for example (definite articles in Romanian are not proclitic but enclitic, with no orthographical space between the noun and the article), would be needed. The process of recognition of these categories would be instantaneous for a researcher with knowledge of the languages involved (English and Romanian), who could also deal with the fuzziness of some categories. Programming a computer to recognise such categories would be time consuming and perhaps problematic; it might require simplifying the model for analysis in the sense that what *can* be counted with current technology would need to dictate what *is* investigated in this study<sup>8</sup>. Finally, it was deemed that the task of setting up the computerised corpus and preparing it for analysis would be such that little scope would then be left for the analysis itself, in view of the time constraints on the present project.

The complexity of the operations which would be required of the computer is further increased by the fact that the phenomena to be counted are not word frequencies as such but non-obligatory translational shifts (see 3.6 and 3.7 below), that is, instances when translators opt for a linguistic solution which differs from the one found in the ST when they could also have opted to preserve it.

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<sup>8</sup> Munday (1998) does present a computer-assisted analysis of translational shifts in the translation into English of a novel by García Marquez, but his analysis is concerned with more easily countable items such as lexical items.



### 3.3.2 Advantages and disadvantages of manual analysis

Manual analysis, on the other hand, is able to cope with ambiguity (McEnery and Wilson 1996: 62) and can ascribe meaning to the absence of a feature as well as to its presence in the text. It can manage those features which cannot as yet be recognised by computers and it can make finer distinctions because the data are not required to accommodate to such strict categories as in computer analysis. Manual analysis would also avoid the need to obtain copyright permission, and to scan and tag the corpus. Finally, smaller-scale manual analysis would ensure that quantitative analysis does not take over the better part of the research, and that statistics fulfil their originally intended role of supporting qualitative analysis by giving an indication of the representativity of the findings.

Besides obvious advantages of appropriateness (in view of the aims of the study) and feasibility (considering the time and resource limitations of the project), manual analysis comes with some disadvantages. First of all, the corpus needs to be smaller so as to be manageable. Secondly, it has to be sampled before it is analysed, rather than analysed in its entirety, which means that issues of sampling method and sample size need to be dealt with. Because it is important for samples to be representative, the size of the corpus must not be so big that it cannot be sampled in a representative way and the samples manually processed. A smaller scale corpus and the analysis of samples rather than of the entire corpus (as is the case in this study) raise issues of representativity and generalisability of the findings, which larger-scale computerised analysis would have avoided.

In what follows, we examine ways of safeguarding, as far as possible, against potential drawbacks, and to achieve maximal representativity. As far as the size of the samples is concerned, Milroy (1987: 27) states, with reference to the analysis of regularly recurring patterns in speech, that “very consistent patterns emerge even with a very small sample, provided that it is *systematically selected*”<sup>9</sup>. Nonetheless, it has been shown (e.g. De Haan 1992: 3; Biber 1993: 249; McEnery and Wilson 1996: 108) that some phenomena need a larger sample in order to become apparent: the higher the frequency of occurrence, the smaller the sample required, and the lower the frequency of occurrence,

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<sup>9</sup> Italics in the original text.

the larger the sample which is needed for reliable results. Consequently what matters is not whether the sample is large or small, but to have the appropriate sample. Scholars also acknowledge (e.g. McEnery and Wilson 1996: 171) that a corpus must not become very large just because it can, and that what is important is to design such a corpus and sample it in such a way as to suit the research objectives and the phenomena which are observed.

The necessary steps therefore are: to design the corpus in a coherent way and state what it represents (Milroy 1987), to sample in a rigorous and systematic way to achieve representativity (McEnery and Wilson 1996), and work out the correct minimum size of samples (that is, the threshold where findings start to repeat themselves and one can stop the analysis without affecting the reliability of the findings) (Biber 1990) and, finally, to conduct checks outside the samples, in order to verify representativity and to ensure validity (McLaren 1999).

### **3.3.3 Conclusions**

After careful consideration of the pros and cons of using computerised (3.3.1) or manual analysis (3.3.2), it was decided that the balance lay in favour of manual analysis, which means that not only the qualitative side of the study (which would have had to be manual anyway) but also the quantitative count have to be performed manually, on representative samples from the corpus<sup>10</sup>.

## **3.4 Building a corpus of Romanian literature translated into English**

We now describe the process of setting up the Romanian-English literary translational corpus to be used for pragmatic analysis of readership design in translations. Two main stages were involved: identifying translations and compiling a list of everything which could be included in the corpus (3.4.1), and then designing the corpus by deciding upon coherent selection criteria which translations had to fulfil in order to be included in the corpus (3.4.2).

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<sup>10</sup> Computerising the Romanian-English translational corpus will be the aim of a subsequent project.



Although, for the purpose of clarity of presentation, issues such as method of analysis (3.2 and 3.3), corpus design (the present section), sampling (3.5), and the model for analysis (3.6), are dealt with in separate sections, in actual fact they are inextricably interconnected and impact on each other in various ways at each stage of the research.

### **3.4.1 Initial stage: identifying translations**

Starting from November 1999 one of the research objectives of the PhD was to identify Romanian literature translated into English, in order to build a comprehensive corpus for analysis. The preliminary criterion was that only prose would be included. The search was conducted in several locations: the online catalogue of main libraries in the UK such as the British Library and the National Library of Scotland, the COPAC (the merged catalogue of CURL - The Consortium of University Research Libraries), the Library of the American Congress, and the Index Translationum. The catalogues of major bookshops (e.g. James Thin and Waterstones), [www.amazon.com](http://www.amazon.com) and other relevant internet sites were also consulted. Another stage of the search was conducted in Romania in the Library of the Academy and the library of Babeş-Bolyai University (Cluj-Napoca), Oradea City Council Library, and in bookstores in several Romanian cities.

The result of the search was fifty-nine volumes of translated Romanian prose, out of which 55 could be consulted, while the other four are only known by title, and could not be obtained. The 55 books which could be consulted are: 23 novels, 22 collections and anthologies of short stories or extracts from novels, four books of autobiographical prose, four fairy tales and works of children's literature, and two collections of philosophical essays. Most original works were written in the twentieth century, with the exception of six books and some short stories from several anthologies, which are nineteenth-century works. Without exception, the translations were done in the twentieth century. Twenty one books were translated and published in Romania, thirteen in the UK, and twenty one in the USA. Out of the total, twenty one were translated by Romanian translators, seventeen by English language native speakers, and five translations are the work of mixed teams of translators (Romanians and British or

American). In twelve cases the name of the translator does not appear on the title page or anywhere in the book and the name could only be discovered in one case<sup>11</sup>.

All these works started out as equal candidates for inclusion in the bilingual corpus, but including all of them would have resulted in a very large corpus, which would have been impossible to analyse manually (there would have been too many samples) within the time limit available. It then became obvious that the corpus could not be a collection of all the translations, and that selection criteria had to be decided upon in order to arrive at a smaller, manageable corpus.

### **3.4.2 Refining the corpus: selection criteria**

Besides responding to the need to reduce the size of the corpus so as to enable manual analysis *and* representative sampling, setting up criteria for inclusion also served the vital purpose of ensuring that the corpus is coherent or, more precisely, that the phenomena under consideration are not clouded by a very large number of other variables (e.g. differences between British and American English, differences between genres; see discussion below).

It was mentioned in 3.4.1 that the translations fall into three main categories: those published in Romania, those published in the UK, and those published in the USA. Besides the obvious issue of differences between British English and American English, considerations of audience are also important for the design of the corpus. Although the overall potential audience of the translations could be broadly construed as all English-native speakers plus everybody else who has English as a foreign language, differences between the audiences targeted by Romanian, British, and American translations are likely to exist and impact on the readership design of the text. For one thing, while envisaging potentially broader audiences in the English speaking world, American translations are likely to target American audiences in the first instance ('addressees'); along the same lines, translations published in the UK are addressed to British audiences first and foremost, with perhaps American and other readers in the position of 'auditors'

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<sup>11</sup> From Alex Drace-Francis, School of Slavonic and East European Languages – University College London (personal communication).



(for a discussion of Bell's taxonomy of receiver categories, see 2.1.1). Translations published in Romania, especially during the Communist regime, may have targeted both markets, but an interesting category of readers was actually formed by Romanians who were either teachers of English, or learning English, and had difficulty in obtaining authentic language materials, as suggested by the experience of those present at the time in the country, including this researcher.

In view of the fact that including in the corpus translations published in three countries would increase the number of variables (i.e. characteristics of audience and differences between British English and American English) and would therefore add to the complexity of the investigation, and that the corpus would have been too large (which would have created problems for analysis, as there would have been too many samples), it was decided that only translations published in Romania and the UK would be included. This reduced the corpus to a more manageable size, while at the same time preserving the scope for comparison between the audience design of translations by Romanian and English-native speakers, published in two different countries.

Because of differences in mother tongue and the cultural exposure of translators having Romanian or English as their first language, it was also decided that the corpus should be comprised of two sub-corpora: one containing texts published in Romania and translated by Romanians, hereafter to be called the R sub-corpus, and one comprised of translations by English native speakers, published in the UK, which we call the B sub-corpus. There is, however, a number of translations which do not fall neatly into either sub-corpus, for instance books translated by mixed teams of Romanian/English-native speakers, books translated by Romanian translators published in the UK, and books translated by British translators and published in Romania. The solution was to create a third subset of translations (the M sub-corpus) which includes such mixed cases, and also translations where the name and mother tongue of the translator is not known.

There is also a separate set of translations into English of Romanian writers who either wrote directly in French, or whose works reached the UK via a French translation. An unusual case is a fairy tale translated from German. Only translations done directly from the original are included in the corpus, because comparing Romanian STs with their translations into English, in terms of audience design, is a complex enough task even without having to take into account a third term of comparison.

Let us now look at further criteria used in designing the corpus. Nineteenth-century Romanian usage is different from the modern language in various respects, and this is an additional variable which analysis would need to take into account. It was decided, for simplification, that only twentieth-century literature would be included in the corpus. Furthermore, only translations published between 1945 and 1989 (the Communist period in Romania, and as such an acknowledged period in the historical, social, and cultural life of the country) were included. It was expected that the coherence of the corpus would benefit from focusing on a well defined period of time.

A final criterion relates to genre. In order to avoid having to deal, during analysis, with differences between genres, it was decided that children's literature, autobiographical works and philosophical essays would not be part of the corpus, and that only novels and short-stories would be included.

Following application of the criteria of place and time of the publication of the translation, and time of the first publication of the original, as well as the criterion of genre, a list of 23 translations to be included in the corpus was finally reached. Table 3.1 presents the number of translations in each sub-corpus, and in the corpus as a whole.

**Table 3.1** The translations in the corpus

	<b>Novels</b>	<b>Books of short stories</b>	<b>TOTAL</b>
<b>The R sub-corpus</b>	7	4	11
<b>The B sub-corpus</b>	5	1	6
<b>The M sub-corpus</b>	3	3	6
<b>TOTAL</b>	<b>15</b>	<b>8</b>	<b>23</b>

Clearly, the R sub-corpus is the largest of the three sub-corpora in terms of number of volumes included; it is almost double the size of the B and the M sub-corpora, which include six titles each. An indication of size of each sub-corpus in terms of word counts would be useful, especially later when we interpret findings, and it is therefore presented in Tables 3.2, 3.3, and 3.4. In order to perform the count manually, the words from three pages of each translated book were first counted and their average was taken to be the average number of words per page in the respective translation. The number was then multiplied by the number of pages in the book. In the case of anthologies of



short stories where some of the translations do not fulfil the selection criteria, only those stories which do fulfil the criteria were included in the count.

**Table 3.2** The R sub-corpus: numbers of words in individual translations

No.	Title	No. of pages of text	No. of words per page	Approximate no. of words
1-R	<i>Romanian Fantastic Tales</i>	312	371	115 752
2-R	<i>History and Legend in Romanian Short Stories and Tales</i>	195	307	59 865
3-R	<i>A Man amongst Men</i>	415	354	146 910
4-R	<i>Gathering Clouds</i>	316	261	82 476
5-R	<i>The Stranger</i>	667	368	245 456
6-R	<i>The Morometes</i>	649	272	176 528
7-R	<i>Adam and Eve</i>	261	412	107 532
8-R	<i>Evening Tales</i>	434	278	120 652
9-R	<i>The Golden Bough</i>	183	336	61 488
10-R	<i>The Hatchet</i>	131	381	49 911
11-R	<i>Tales of Fantasy and Magic</i>	284	377	107 068
			<b>R sub-corpus:</b>	<b>1 273 638 words</b>

The first column gives the number which will hereafter be used throughout the thesis to refer to a particular literary work or the sample from the literary work, and an indication of the sub-corpus it belongs to; the titles of the translations in the corpus are in the second column, followed by the number of pages of text in each translation, the average number of words per page, and the approximate number of words in each translation.

**Table 3.3** The B sub-corpus: numbers of words in individual translations

No.	Title	No. of pages of text	No. of words per page	Approximate no. of words
1-B	<i>Fantastic Tales</i>	45	481	21 645
2-B	<i>The Uprising</i>	375	486	182 250
3-B	<i>Ion</i>	401	452	181 252
4-B	<i>The Forest of the Hanged</i>	342	314	107 388
5-B	<i>A Gamble with Death</i>	196	398	78 008
6-B	<i>The Gypsy Tribe</i>	282	403	113 646
			<b>B sub-corpus:</b>	<b>684 189 words</b>

Finally, the word-numbers in the M sub-corpus are as follows:

**Table 3.4** The M sub-corpus: numbers of words in individual translations

No.	Title	No. of pages of text	No. of words per page	Approximate no. of words
1-M	<i>Romanian Short Stories</i>	254	322	81 788
2-M	<i>The Royal Hunt</i>	172	343	58 996
3-M	<i>Mitrea Cocor</i>	178	372	66 216
4-M	<i>Ancuta's Inn</i>	170	223	37 910
5-M	<i>Tales of War</i>	188	191	35 908
6-M	<i>Barefoot</i>	261	662	172 782
			<b>M sub-corpus:</b>	<b>453 600 words</b>

As tables 3.2, 3.3 and 3.4 show, the R sub-corpus is the largest, with 1 273 638 words (as expected, in view of its consisting of almost twice the number of volumes compared to B and M). The other sub-corpora, which are equal in terms of number of volumes, differ substantially with respect to number of words. The B sub-corpus is the larger of the two, with 684 189 words compared to 453 600 words in the M sub-corpus.

**Table 3.5** The translations in the corpus as a whole, and in the three sub-corpora: numbers of words

	No. of words	Proportion within the corpus
<b>The R sub-corpus</b>	1 273 638	52.82%
<b>The B sub-corpus</b>	684 189	28.37%
<b>The M sub-corpus</b>	453 600	18.81%
<b>THE CORPUS</b>	2 411 427	100.00%

The overall size of the corpus of translations is 2 411 427 words, as can be seen in Table 3.5. In percentage terms, the R sub-corpus represents 52.82% of the corpus, the B sub-corpus is 28.37%, and the M sub-corpus accounts for the remaining 18.81%. It is important to remember that these numbers and proportions refer exclusively to the translations into English, and do not include the Romanian original texts. The reason why numbers of words and percentages were not calculated for the Romanian originals too is that, while the translations in the corpus are grouped in three sub-corpora, the sizes of which are important to know when findings are compared, the source texts in



the corpus, on the other hand, make a more compact group in the sense that the criteria according to which the translations had to be grouped in sub-corpora are not relevant for the original works.

To conclude this section on corpus design, we can state that the corpus is comprehensive in that it includes all the translations from Romanian literature into English which fulfil the selection criteria outlined above. It could be the case that some other translations which fulfil the criteria do exist but were missed by our searches. Nonetheless, in view of the fact that the search for translations was conducted in a variety of appropriate locations, it is possible to state in a fairly confident way that, even if they exist, there cannot be many of them.

### **3.5 Sampling and representativity**

Although made smaller by the application of strict selection criteria, the corpus is too large to be analysed manually. Sampling is therefore necessary before the analysis can start. The sampling method and sample size, as well as issues of representativity and generalisability of findings (also mentioned in 3.3 above), are discussed in detail in what follows, with specific reference to the present project.

#### **3.5.1 Sampling in language studies**

Computerised corpora on which quantitative searches can be performed by machine appear to be the only solution for anyone who wishes to use quantitative methods on an entire corpus, thereby avoiding sampling. On the other hand, it must be remembered that, however large they are, corpora themselves are usually just samples from a given population (e.g. Cobuild is a corpus of samples of modern English) and, although carefully designed, they are still partial, and researchers have to deal with problems of representativity (Baker 1995: 239) and generalisability of the findings. In fact, the issues of representativity and generalisability are some of Chomsky's major criticisms of corpora (see Chomsky 1959: 159); according to him, any corpus will be skewed.

In our case, the Romanian-English bilingual corpus itself has not been achieved as a result of sampling; rather, it comprises the entire population it is intended to represent (i.e. twentieth century Romanian novels and short stories translated into English between 1945-1989 and published in the UK and Romania). However, this comprehensive corpus now needs to be sampled in a representative way, for analysis. In a sense, it is possible to view the process of sampling the Romanian-English corpus as a process of creating a smaller-scale corpus which should represent all the sections of the full corpus.

The process of sampling is fraught with difficulties, because of the impact of sampling decisions on the entire research and on the claims which can be made (Milroy 1987: 18). Issues such as what constitutes a representative sample, how large it should be, how many samples are needed, and how sampling was done in the present research are discussed in detail below.

### **3.5.2 What unit can be a sample?**

First of all, let us draw attention to the fact that the word ‘sample’ can be used both to designate individual sampling units, and the sum of all individual samples which, together, are considered representative of the population under investigation (in our case, of the corpus); care will be taken here to make clear which meaning is intended in each circumstance.

In the social sciences the units which constitute the sample are usually human individuals, and the population to be sampled can be defined and delimited in a rigorous way (e.g. all persons residing in Edinburgh at the time when the research is conducted). However, in the case of linguistic research, the nature and size of the population (e.g. modern English) is such that it is difficult to delimit, and this makes the application of standard statistical sampling methods irrelevant (Baker 1995: 239; Clear 1992: 21). Moreover, as these authors go on to say, almost every unit of language which one can envisage considering as the basis for collecting a sample has its own problems of definition. Even ‘text’ is not a clearly defined universally agreed unit.



As it is important in this study to ensure that individual samples are roughly the same size<sup>12</sup> (for a discussion of sample size and criteria for sampling see 3.5.3 below), it might appear that sampling should be a matter of deciding what the sample size should be in word numbers and then applying this criterion. However, counting words and ending a sample in the middle of a sentence or paragraph is not a useful method (Baker 1995: 240), and certainly not appropriate in a study of pragmatic phenomena which operate at the level of entire text units. Therefore, besides sample size, a second constraint is to respect text boundaries such as the start or end of chapters, of short stories, or at least paragraph boundaries, and to avoid fragmentation. Respecting paragraph boundaries is not particularly a problem, but respecting chapter/story boundaries would be more difficult because of their varying length which, more often than not, fails to correspond to the desired sample length and makes uniformity of sample size difficult to preserve.

The approach taken in the present research is to take into consideration boundaries such as the start and end of paragraphs, of chapters, or of short stories as a vital criterion, of equal importance with the criterion of uniform sample unit sizes. In the case of short story anthologies, for instance, an entire story – or, if shorter, two or three entire stories which amounted to the desired word count – were sampled; the only exception is the case of a sample including one entire story and part of another story (though section boundary was respected in this case too). Because they are larger units compared to stories, novels had to be dealt with differently. Where possible, entire chapters were sampled. However, in many cases no chapter had the desired length, and part of a chapter had to be sampled. In such cases, the usual procedure was to start where the chapter started, and finish the sample at the end of an appropriate chapter subsection.

Although the corpus is uniform from the point of view of genre, considerations of text-type may also need to be taken into account. Narrative predominates in the corpus, but there are descriptive and argumentative texts as well (according to Werlich's 1983 categories). A further issue could be whether dialogue should be considered separately from everything else. Awareness of such issues will be useful for the qualitative analysis of data, but for the purpose of quantitative analysis it is not realistically manageable or indeed, within the scope of this project, to make such distinctions when sampling.

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<sup>12</sup> Due to considerations of comparability, especially with respect to quantitative findings.

### 3.5.3 Sampling method and sample size

The overall corpus sample must be representative of the corpus, in order to warrant generalisations of the findings. According to Biber (1993: 243), “typically researchers focus on sample size as the most important consideration in achieving representativeness: how many texts must be included in the corpus, and how many words per text sample”. Larger samples, and a great number of them, seem more reassuring, but in practical terms achieving them is dependent upon resources and available time. Besides, as Biber further argues, “sample size is not the most important factor in selecting a representative sample” (Biber 1993: 243) – method of sampling is a prior consideration.

De Haan (1992) discusses the issue of sample size in corpus studies, and concludes that “the suitability of the sample depends on the specific study that is undertaken, and that there is no such thing as the best, or optimum, sample size as such” (de Haan 1992: 3). Overall sample size, and the number and size of individual sampling units (e.g. texts) depend upon the aims of the particular study at hand, and a corpus and sampling method designed for a specific purpose is always best.

Corpora and samples should not be big just because they can be (McEnery and Wilson 1996: 171), a point which is supported by Milroy (1987: 21) when she points to the fact that sometimes large samples tend to be redundant, “bringing increasing data-handling problems with diminishing analytical returns”. What is crucial is that the sample be well chosen, on the basis of specifiable and defensible principles, and that it is representative of all the subsections about which one wishes to generalise.

The Romanian-English corpus to be analysed here is composed of 23 translated volumes, and in view of the diversity of authors, translators and circumstances of publication, as well as potential differences between STs themselves in terms of the parameters under investigation, it is important that a sample from each volume be taken (23 in total), and that these samples should be representative of the particular translation they belong to. In statistical terms, this method of sampling is ‘stratified sampling’ (Biber 1993). Samples were then taken, but rather than using a ‘random sampling method’ (e.g. open the book at random and start the sample from there), ‘judgement



sampling' was used in order to ensure that samples come from the beginning, middle, and end of volumes. This method was also required by the need to select samples in such a way as to respect text boundaries. It was also decided that an equal sample would be taken from each volume, rather than using 'proportional sampling' (which would have meant taking into account the fact that the translations differ in terms of word count).

It was argued above that not only very large samples can be representative, and that it is important to sample in a systematic way. However, if it were a waste of time and resources to create larger samples than necessary, it would be, on the other hand, dangerous to make claims on the basis of samples which are smaller than required in view of the specific phenomena to be investigated. Determining the appropriate sample length is therefore vital.

It is usually suggested (e.g. in Biber 1993: 249; McEnery and Wilson 1996: 170) that frequent linguistic phenomena (e.g. junctives) can be studied on smaller samples (sometimes as small as 1000 words), but that less frequent features (e.g. conditional subordination) are less stable and require longer text samples to be reliably represented. However, specific information on the adequate sample length for studying one specific feature or another is only available for a limited number of such features which previous corpus linguists have already dealt with. Even in those instances, however, it may be the case that new research adopting a different theoretical angle, having other aims and working on a different set of texts, may consider it more appropriate to devise a new sampling framework. In our case, no indication was found in previous research as to what samples should be used for pragmatic analysis using the parameters this study intends to investigate (see 3.6 below).

A pilot study was therefore conducted for the dual purpose of testing and refining the model for analysis (see 3.6) and of ascertaining the appropriate sample length. Four samples of various sizes were selected: a short story of approximately 4650 words, a 3500-word section of a novel, and two roughly equal (for the sake of comparison) samples of 1700 and 1750 words. The overall sample processed for the pilot study amounted to 11 600 words.

The findings from the pilot study suggested that the 1700 and 1750-word samples were not long enough, because numbers of occurrences were too low for confident quantitative statements to be made about the existence or lack of existence of patterns, or for in-depth qualitative analysis of the phenomena. In the 3500 sample clearer findings emerged, while the 4650-word sample was amply sufficient.

In view of these findings, a sample length of 4500 words was decided upon, subject to confirmation after several samples of this size were processed. The first analyses confirmed the appropriateness of the 4500-word sample length, and the rest of the research proceeded on this basis. The overall corpus sample which was quantitatively and qualitatively analysed is 103 500 words, which represents 4.29% of the translations in the overall corpus (in terms of word count).

In actual fact, due to the need to pay attention to text boundaries, the word count of individual samples is rarely an exact 4500 words; most samples are slightly longer, as the end of each sample was usually established at the first appropriate text boundary occurring after the 4500 word limit.

In order to verify the representativity and validity of the findings, two checks were conducted outside the sample. Two texts randomly selected from the corpus, of roughly the same size as the samples, were analysed, and they confirmed the trends observed in the samples. Also, the accuracy of the numbers presented in the quantitative analysis was checked by processing several samples selected at random a second time.

### **3.6 The model used for analysis**

We start this section with an account of the processes which led to the shaping of the model for analysis used in this study (3.6.1), and then discuss in detail the model used (3.6.2). Concluding remarks are in 3.6.3.



### 3.6.1 Creating the model for analysis

Various models for analysis (sometimes called 'toolkits') have been used for discourse analysis and CDA, for example in Fowler *et al.* (1979), Simpson (1993), McLaren (1999). Such studies deal with a variety of texts, ranging from business to literary, and their main concern is to reveal ways in which language is used for various purposes which are not always salient for at least some of the communicators, and to discuss manipulation in language. Investigating manipulation is not the aim of this study; however, some items on the checklists of previous researchers can be put to good use in researching, within a functional framework, other aspects of language use. The present research drew on previous work both at the stage of creating a preliminary list of potentially useful tools for investigating audience design in translations, and later in the analysis, but at the same time one of its objectives was to establish an original model for analysis, designed in view of the particular research objectives of the study.

Sixteen parameters were included in the preliminary list of potentially useful tools for analysis, e.g. presupposition, modality, transitivity, cohesion, deixis, theme/rheme, structure, and others (see 2.2.3 for a discussion of the appropriateness of using features such as these for an investigation of audience design). They were tested in the pilot study, and it emerged that not all of them were equally suitable for investigating audience design with the methods proposed in this study. The initial list was then revised in view of the pilot study findings, which pointed to the fact that some parameters did not produce particularly fruitful findings, while others were more forthcoming, and the resulting model for analysis contains: *deixis* (time, place, and person deixis) and *presupposition* (existential presupposition triggered by definite/indefinite article, and cultural presupposition). Other evidence of audience design comes from exclamations and questions with reader-involving function, sentence and paragraph structure, and from junction, as well as from a variety of translator interventions such as addition or removal of text (see section 6.5). Investigating all these parameters would pose a serious challenge in terms of preserving depth of analysis. Consequently it was decided that the focus in this project would be on deixis and presupposition.

It is important to mention at this stage that it is not deixis or presupposition as such which are investigated in order to find evidence of audience design, but non-obligatory

translational shifts involving these parameters (see 3.7.1 and 3.7.2). Such shifts in the samples from the corpus were catalogued and interpreted in a quantitative (see Chapter 4) and qualitative way (Chapter 5).

### 3.6.2 The model for analysis

#### 3.6.2.1 Deixis

The phenomenon of deixis, which is held to be more or less a universal feature of natural languages, mainly relates to the spatio-temporal co-ordinates of the speech situation. That is, languages display structural characteristics which allow users to orientate their expression to the here-and-now of the speaker, the place and time of utterance. According to Levinson (1983: 62) there are three traditional categories of deixis, namely *time*, *place* and *person* deixis; two further types of deixis are *social* deixis and *discourse* deixis.

*Time deixis* concerns the encoding, in language, of temporal relationships between participants and the utterance (Levinson 1983: 62; Simpson 1993: 13). It is commonly grammaticalised in verbal tenses, and in deictic adverbs of time (e.g. *now*, *then*, *this month*, *three days ago*). The first item of the pair ‘now’ and ‘then’ is a *proximal*, in that it expresses temporal proximity to the speaker, whereas the second term is a *distal*. A similar distinction between *proximals* and *distals* operates in the case of *place* (also called spatial) *deixis*. *Place deixis* encodes spatial locations relative to the location of the participants in the speech event, and is mainly realised through terms such as deictic adverbs (e.g. *here*, *there*) and demonstratives (e.g. *this*, *that*) which denote how participants are located in physical space. Richardson (1996) distinguishes three categories of spatial deixis, namely *indices of entities* (realised via demonstratives and other spatial deictic adjectives), *indices of location* (mainly locative adverbs), and, finally, *indices of motion* (e.g. deictic verbs of motion such as ‘come’ and ‘go’); deictics belonging to the latter category are not included in our analysis, for reasons mainly linked to the fact that, in our corpus of literary translations, these deictics are less clearly involved in shaping the relationship between author, translator, and readers, than other types of deictics such as demonstratives and adverbs. *Person deixis* concerns the



encoding of the role of the participants in the speech event. Pronouns are frequently used for this purpose; thus, the category ‘first person’ is the grammaticalisation of the speaker’s reference to herself or himself, the ‘second person’ encodes the speaker’s reference to one or more addressees, while the ‘third person’ category refers to persons or entities which are neither the speaker, nor the addressees of the utterance. The notion of *social deixis* refers to “the encoding of social distinctions that are relative to participant-roles” (Levinson 1983: 63) through, for instance, T/V pronouns. And, finally, *discourse deixis* is “the encoding of reference to portions of the unfolding discourse” (Levinson 1983: 62) (as in ‘We list *below*...’ or ‘And *that* is how the story ends’). Frequently, this is done via anaphora (a particular term picking out as referent the same entity or class of objects that some prior term in the discourse picked out). According to Levinson (1983: 67), it is perfectly possible for a deictic term to be used both anaphorically and deictically. For example, in ‘I was born in *London* and have lived *there* ever since’, *there* refers back to London, but at the same contrasts with *here* on the dimension of space, thereby locating the utterance outside London. Lyons (1977: 670) calls such usage *impure textual deixis*.

Our investigation will be focused on the temporal and spatial dimensions of deixis (including anaphoric reference used in a spatial or temporal deictic way), and on person deixis, because, as suggested by the pilot study (see 3.6.1), these categories are likely to be the most fruitful in revealing the nature of audience design in the translations from the corpus (also see 3.6.3 for a discussion of the implications of using certain parameters for analysis rather than others). More specifically, our analysis will be restricted to those two-term sets which, in the language systems of Romanian and English, reflect relative nearness (proximals) or distance (distals) from the point of view of the speaker/writer (except in the case of person deixis, where the proximal-distal distinction works in a different way).

Table 3.6 below lists some basic Romanian indexicals (as deictics are also called) and their English counterparts:

**Table 3.6** Romanian and English indexicals

<b>Indexicals</b>	<b>Romanian</b>	<b>English</b>
<b>Demonstrative pronouns</b>	aceasta (f), acesta (m)/ aceea (f), acela (m) acestea (f), acestia (m)/ acelea (f), aceia (m)	this/that  these/those
<b>Demonstrative adjectives</b>	Same as pronouns	Same as pronouns
<b>Spatial/temporal adverbs</b>	aici/acolo acum/atunci	here/there now/then

As can be seen in Table 3.6, both Romanian and English grammaticalise the distinction between distal and proximal; the fact that more forms are available for demonstratives in Romanian is due to gender distinctions being encoded rather than to differences in how the two language systems encode temporal or spatial positioning. There are, however, languages which grammaticalise more distinctions than Romanian and English; Spanish, for instance, has a three-term set of demonstratives (*este/ese/aquel*), and it is reported (e.g. Levinson 1983: 81) that other languages distinguish an even larger number of orientations to the anchorage of the here-and-now of the speaker.

The fact that Romanian and English have similar sets of indexicals does not guarantee that these will actually be used in the same way in the two languages. While traditional grammars indicate, in both English and Romanian, using distals for entities which are remote in time or place and proximals for entities which are close in time and space, the ways in which this distinction is actually put to use (i.e. conventions, preferred usage) may differ. In the absence of contrastive Romanian/English studies in discourse adopting a pragmatic rather than formal perspective on language, our analysis of translations will have to proceed carefully, taking into account the possibility that conventions of language usage may be involved in a number of instances of shifting.

The table below presents the personal pronoun systems of Romanian and English:



**Table 3.7** Personal pronouns in Romanian and English

Personal pronouns	Romanian	English
1 <sup>st</sup> person	eu noi	I we
2 <sup>nd</sup> person	tu, dumneata, dumneavoastră voi, domniile voastre	you you
3 <sup>rd</sup> person	ea (f), el (m) ele (f), ei (f)	she, he, it they

A three-person set operates in both languages, and a distinction is made between one (singular) and more than one (plural). In Romanian, there is an additional distinction with respect to gender, in the third person singular and plural only. A polite alternative is available in the second person singular (the Romanian *dumneavoastră* works in a similar way to the French *vous*, the Spanish *Usted*, or the Italian *Lei*) and plural, and there is an intermediate polite form (*dumneata*, which is more polite than *tu* but less polite than *dumneavoastră*) for second person singular only. Instances of pronominal addresses to readers will be analysed in this study because, as pointed out by McLaren (1999: 275), “in English the use of *you* is as personal as one can get when it comes to referring to, or naming, the reader”, and this is particularly relevant for our investigation of audience design.

Another feature of relevance to our discussion will be *deictic projection* (Lyons 1977: 579). This notion refers to the fact that the *deictic centre* (Levinson 1983: 64), usually anchored in the here-and-now of the text producer, may be shifted to that of other participants or even to protagonists in fictional narrative. For example, a telephone communication from a remote location to someone in Manchester may contain either ‘I’m going to Manchester on Sunday’ or ‘I’m coming to Manchester on Sunday’, the latter projecting the deictic centre from producer to receiver. In fiction, a writer may use proximals such as *here* or *now* either from his or her own perspective as author or from the perspective of one or other protagonist in the narrative. An illustration of the latter would be the example below, describing the impressions of a child who travels to town with his father:

Father took me to town [...]. The road ran by the hillock, then through Adâncata Forest, which had been cut down and in place of which there was *now* a grove of young trees. (Stancu 1952: 181; my emphasis)

The proximal *now* is not oriented to the narrator's deictic centre, as are the past-tense verbs *took, ran, had been cut, was*, but to the protagonist's experience at the time referred to in the narration; the use of deictic projection reflects here the writer's positioning of the reader. It acts as an invitation to the reader to construct a mental model of the emerging text world from a particular perspective. It is in this sense that Richardson (1998: 131 and 1999: 167) speaks of *deictic field*, an area of common purpose between speaker and hearer, between writer and reader. According to him, the meaning and purpose of deictic elements in language can only be accounted for if "the 'business' being carried on by speaker and hearer is part of the explanation" (Richardson 1999: 167). Deixis is, then, an interactive feature of texts, in which shifts and departures from norms can be related to pragmatic effects and to the negotiation of meaning between producer and receiver. Lyons (1977: 677) mentions 'subjective involvement' and 'appeal to shared experience' as factors involved in what he calls *empathetic deixis*:

It frequently happens that 'this' is selected rather than 'that', 'here' rather than 'there', and 'now' rather than 'then', when the speaker is personally involved with the entity, situation or place to which he is referring or is identifying himself with the attitude or viewpoint of the addressee.

Conversely, Fowler (1996) notes that persistent preference for distals rather than proximals appears "usually to have an alienating (i.e. *distancing*) effect" (Fowler 1996: 120; my addition) and, in similar vein, Toolan (1990: 178) sees 'implicit detachment' in the use of *that time* and *then* as temporal deictics (see section 3.7.3 for a discussion of markedness/unmarkedness in linguistic choices). On the other hand, the systematic use of proximals creates the opposite effect, namely one of *approximating* discourse.

These then are the main considerations which will underpin our analysis of deixis in translation. In our analysis (in section 5.1), we shall examine examples of deictic shifts both in terms of what actually occurs in the translated text and in terms of what might have occurred but does not. More specifically, it will be of particular interest to ascertain whether the use of proximal and distal indexicals in the Romanian texts is preserved in the translations, or whether it is changed, via shifting, to strengthen either the proximal (i.e. an approximating tendency) or the distal component (a distancing tendency).



### 3.6.2.2 Existential presupposition

The term presupposition refers to those assumptions which appear to be built into the linguistic structure of texts and which relate linguistic structure to extra-linguistic context in terms of the inferences which are expected to be made about this context (Levinson 1983: 68). As pointed out by Yule (1996), “speakers continually design their linguistic messages on the basis of assumptions about what their hearers already know [...]. What a speaker assumes is true or is known by the hearer can be described as a presupposition” (Yule 1996: 131-2). Presuppositions are extremely sensitive to context, and thus differ from logical entailment, which refers to those inferences which can be made strictly from linguistic expression itself and are restricted to the truth-conditions of the particular expression. Since they are “background assumptions against which an action, theory, expression or utterance makes sense or is rational” (Levinson 1983: 168), presuppositions are a middle ground between tacitly assuming that something does not need to be mentioned at all, and, on the other hand, asserting it explicitly, perhaps as a separate statement.

Prince (1981) notes that there is considerable disagreement between researchers investigating the notions of given versus new information (or old-new, known-new, presupposition-focus, which are some of the aliases of given-new). Thus, ‘given’ is sometimes used in the sense of ‘predictability and recoverability’, or ‘saliency’, or ‘shared knowledge’. The latter notion is particularly problematic because, in the absence of conclusive evidence as to what other people’s knowledge or beliefs could be, a communicator can only make (more or less informed) assumptions about such knowledge, beliefs, or information. Along the same lines, ‘common knowledge’ and ‘shared/mutual knowledge or information’ have been shown (by Sperber and Wilson 1986) to be imprecise since one can only make assumptions about what may be ‘mutually manifest’, or about the extent to which people share our cognitive environment (see 2.2.3.3).

Prince (1981) proposes the term ‘assumed familiarity’, and proceeds to suggest a number of categories of given-new information. Her taxonomy includes three main categories, namely ‘new’, ‘inferrable’, and ‘evoked’. There are further subdivisions to

these categories, for example ‘new’ comprises ‘brand-new’ and ‘unused’, whereas ‘evoked’ can be ‘textually evoked’ or ‘situationally evoked’. The category of the ‘inferreds’ is, according to Prince (1981: 242), linked to stereotypic assumptions such as ‘Houses have doors’; such assumptions may differ to various extents from one culture to another.

Levinson (2000: 94) presents a hierarchy of givenness of anaphoric expressions in English, according to the degree to which their referents are mentally activated. Interestingly for our analysis of deixis and presupposition, this scale includes definite and indefinite reference *and* the deictics ‘that’ and ‘this’. Starting from the left of the scale and proceeding to the right, the following categories are suggested: ‘type-identifiable’ (indefinite reference), ‘uniquely identifiable’ (definite reference), ‘familiar’ (the distal deictic ‘that’), ‘activated’ (both ‘that’ and ‘this’ can be used, although not interchangeably), and, finally, ‘in-focus’ (e.g. ‘it’). In this scale, rightwards expressions (deictics) have more precise criteria of application than leftwards expressions (reference); consequently, using a leftwards expression to refer to an entity implicates that the communicator could not have felicitously referred to this entity by using an expression higher on the scale. For example, ‘this’ is marked for proximity, whereas ‘that’ is unmarked for proximity and therefore picks up the complementary interpretation; since ‘that’ has a wider distribution than ‘this’ (with some uses potentially overlapping), opting for ‘this’ rather than ‘that’ generates an implicature.

The presence of a presupposition is usually signalled by particular words or aspects of surface structure in general, which are called presupposition *triggers*. Levinson (1983: 181-4) lists a number of thirteen such triggers, including *definite descriptions* (e.g. ‘John saw the man with two heads’ presupposes that there exists a man with two heads), *iteratives* (e.g. ‘The flying saucer came again’ presupposes that it had come before), *change of state verbs* (e.g. ‘Peter stopped visiting his parents’ presupposes that he had been visiting his parents). Our investigation of translational shifts relating to presupposition will primarily focus on presuppositions triggered by definite description, which have been shown by the pilot study to be the most revealing with respect to audience design, in the translations in the corpus. More particularly, we shall focus on presuppositions triggered by the use of definite articles, which are also known as ‘existential presuppositions’ (Simpson 1993: 125).



Table 3.8 below presents the definite and indefinite articles in Romanian and English.

**Table 3.8** Romanian and English articles

Articles	Romanian	English
<b>Definite</b>	-a (f, sg.), -ul (m, sg) -le (f, pl.), -i (m, pl.)	the
<b>Indefinite</b>	o (f), un (m) niște (f and m, pl.)	a, an  - the zero article

First of all, it must be noted that Romanian articles (much like articles in French, Spanish or Italian) are gender-specific, and there is a further distinction between singular and plural forms. The definite article, in Romanian, is enclitic rather than proclitic. Finally, there is no specific category, in Romanian, to parallel the so-called ‘zero article’ in English; this is considered to be part of the category of indefiniteness. In most respects, however, the basic distinction between definiteness (entities assumed to be known) and indefiniteness (entities assumed not to be known) is similar between the two languages.

Romanian and English grammars (e.g. Graur *et al.* 1966; Daniliuc and Daniliuc 2000; Leech 1989) concur in suggesting that definiteness should be used for pointing to specific referents, such as entities which both speaker and hearer know about (something which has been mentioned before can be assumed to be generally known, or to be familiar to the hearer), while the indefinite article signals a more or less unknown entity out of a range of similar ones, but without specifying which. The use of the zero article in English is also a form of indefiniteness. It is evident that these guidelines leave plenty of scope for using either form, because what may be assumed to be assumed by the interlocutor is highly subjective.

Some precise rules or conventions of usage do exist and are listed in grammars but they tend to refer to several specific categories of nouns or to deal with exceptions. For instance, abstract notions are usually accompanied by a definite article in Romanian in sentences such as ‘*Frumusețea va salva lumea*’ (literal translation: The beauty will save the world), just as in French and other Romance languages, but in English the zero article is used: ‘Beauty will save the world’. Along the same lines, definiteness is used in Romanian to designate generic reference (e.g. *omenirea* – literally, the mankind) or

for seasons (*vara* – the summer), while English uses the zero article (mankind, summer). In such instances, shifting from definite to zero article would be obligatory in translation and this kind of shift is not part of the present inquiry because it has no relevance for audience design (unless a translator breaks the rule and uses a dispreferred form for a specific reason or purpose).

Because presuppositions are context-sensitive, they are bound to be a problematic area of translation due to the fact that, in translating, the context of production and reception of the original text is replaced by the context of translation and publication of the target text. Usually spatio-temporal differences are involved, and the audience a translator addresses may be very different in terms of ‘cognitive environment’ (world view, assumptions, expectations, and so on) from the readership of the original text. Our aim in the part of the analysis which deals with shifts relating to articles (section 5.2.1) will be to ascertain whether there are any differences between the pattern of definiteness and indefiniteness in translations compared to source texts, and to interpret findings from the perspective of audience design; we are particularly interested in any trends which might be found to be in operation.

### 3.6.2.3 Cultural presupposition

The third component of our model for analysis is *cultural presupposition*. The name seems to be fairly self-explanatory, which may partially account for the scarcity of research attempting to define this term which is, nonetheless, frequently used (e.g. by Mey 1993 and Prince 1981)<sup>13</sup>.

Cultural presuppositions are not essentially different from other kinds of presuppositions, in that they are also based on assumptions about what is or is not manifest to other participants in the act of communication, as well as about what can be taken for granted; their specificity resides in the fact that the context which is needed in order to interpret them is particular to one culture or another (rather than just to one individual or another, within the same culture) – which means that their definition

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<sup>13</sup> Cultural presuppositions are a vast and diverse area, still in need of charting (future research could, perhaps, concern itself with the task of identifying different types of presuppositions).



depends upon what the terms 'culture' or 'cultures' are understood to mean. Their role in communication becomes especially salient in cross-cultural encounters: they can create serious misunderstanding if there is a mismatch in contextual information between the participants (Mey 1993: 298). Countless examples can be given; Mey (1993: 300), for instance, quotes the following example:

*(Two secretaries meet in the hallway of their common office)*

A: Would you like a piece of apple cake?

B: Have you got some?

In this case, the misunderstanding lies in the fact that, in certain cultures, inquiring whether a person would like a piece of cake is equivalent to an indirect offer, and it clearly implies that the person who makes the offer does have some cake, whereas in other cultures it may be perceived as a request to go and get some cake.

Cultural presuppositions are often intricately linked to stereotypical assumptions (cf. Prince 1981: 242; see account of Prince 1981 in 3.6.2.2 above) such as 'Doors have knobs', which is the case in some parts of the world but by no means in all. Others draw on specific (e.g. historical or geographical) information. The sentence *Maria alergă spre Poșaga* (Maria ran towards Poșaga), for example, will be interpreted by most Romanian readers as meaning that Maria ran towards the place called Poșaga, but English readers are less likely to infer (unless helped by co-text) that Poșaga is the name of a place than that of a person. On the other hand, as pointed out by Fawcett (1998: 121), one can never be totally sure which presuppositions will be accessible even to an audience sharing the same cultural background with the communicator. Thus, in our previous example, Poșaga happens to be a village in the Transylvanian mountains, but this may not be known to all Romanian readers (although they are likely to infer that it is a place name). It is then reasonable to suggest that the difference between what Romanian readers (i.e. ST readers, in our study) and English readers (the TT audience) are able to infer is merely one of degree, and that translator assumptions about what readers might be expected to assume plays a crucial part in decision to explicate presuppositions, to give extra contextual background, or, on the contrary, to introduce new presuppositions via translating.

Gutt argues that translation can be viewed as “quoting the original author ‘out of context’” (Gutt 1998: 49) and goes on to say that not only translations but also “any text transferred from its original context to a different one is likely to be affected in its meaning by that change, even when there is no change of language involved” (Gutt 1998: 50). He gives the example of reading literature in one’s own language but from another time period or setting than our own. Mismatches in contextual information can therefore arise, even when translation is not involved. Supplying some context to help bring the text to the reader or, on the other hand, leaving readers to manage on their own (bringing the reader to the text) were recognised as translation strategies by Schleiermacher as long ago as the early nineteenth century (Gutt 1998: 49). Both strategies are based on assumptions about translating, and about audience. Would readers want to be brought to the text and be challenged into investing more effort in reading? Or, on the other hand, do they expect part of this task to be done for them by the translator? And, finally, what are the assumptions translators entertain, which prompt them to take a particular course of action rather than another?

Some clarification on whether we can infer translator assumptions by studying presuppositions in TTs as compared to STs comes from Ehrman (1993). According to him, the way in which presupposition is handled in a translation can be used to infer the differences (and, we would add, similarities) between the contextual frameworks of the ST and, respectively, the translation. He compares an English translation of a book by Paracelsus with the original text, uncovers shifts in presupposition and concludes that all these shifts are due to the change in world view (between the sixteenth century and the twentieth century when the original book was written). Ehrman’s argument seems rather circular, and has the additional drawback of unilaterally attributing all shifts to the time lapse and ensuing change in conceptual framework/world view, whereas there may be a variety of factors involved, such as: translator assumptions about what the current world view is (rather than the world view in itself triggering presupposition shifts) and assumptions about categories of readership (an audience of experts in the Middle Ages could cope with Paracelsus’s presuppositions better than non-specialists).

Ehrman’s study, however, is useful for this research because it argues that presupposition shifts are not random. It exemplifies how shifts in the translation link with shifts in context and, although his focus is limited to a philosophical world view, the framework can be extended to other contextual elements which can be assumed to



be part of the TT as opposed to the ST cognitive environment. Hence, by analysing presuppositional shifts, we can infer part of the set of assumptions a translator brought to her task. Rather than claiming (as Ehrman does) that all shifts are due to the direct influence of one particular factor (in his case, a conceptual framework), we aim to unearth here several of the issues which may be involved, most notably the translators' design for an audience. This will be the subject of detailed analysis in section 5.2.2.

### **3.6.3 Conclusions**

Each of the parameters outlined in 3.6.2 is expected to produce findings which are revealing of one aspect or another of audience design in the translations from the corpus, but only several parameters considered together can offer a comprehensive picture of the nature of the particular audience design which is present. Consequently, one of the aims of the analysis will be to draw together findings relating to the various types of deixis and presupposition under investigation, and assess their overall contribution to the shaping of the audience design involved (for a discussion of the limitations of the model for analysis, and suggestions for further research, see 7.4 and 7.5 respectively).

### **3.7 Key notions used in this study**

Several key notions, such as 'translational shifts', 'markedness', or 'optionality', are used throughout this study, and they are briefly explained in what follows.

#### **3.7.1 Translational shifts**

Translational shifts have been defined in various ways and from various perspectives. Catford (1965) discusses shifts within a linguistic framework, and mainly deals with the grammatical and lexical levels; his definition of translational shifts is that of "departure from formal correspondence in the process of going from SL to TL" (Catford 1965: 73). Along similar lines, Newmark (1988: 85) uses the term 'shift' to mean "a change in grammar from source language to target language". Such accounts, however, do not

cater for higher order shifts at the level of text and discourse, and the pragmatics of translation (as an act of communication).

The most detailed attempt so far to produce and apply a model of shift analysis is van Leuven-Zwart (1989 and 1990). The model consists of a comparative model (involving a detailed comparison between ST and TT, and a classification of microstructural shifts within sentences and clauses) and a descriptive model designed for the analysis of translated literature at macrostructural (discourse) level. This model is very complex, involving a large number of categories and subcategories, and also carries the practical difficulty of allocating shifts to one category or another.

The present research aims to avoid the perils of a detailed taxonomical approach and adopts the broad definition of shifts as “changes which occur or may occur in the process of translating” (Bakker, Koster and van Leuven-Zwart 1998: 226) but which cannot be attributed to the systemic differences between the source and target languages. If, according to Toury’s (1980) methodology, translation, like every transfer operation, involves an ‘invariant under transformation’ (rule-governed obligatory shifts), then the type of evidence which is relevant in this study comes from translational shifts which do not fall within the ‘obligatory’ type. In a way, the meaning generally given nowadays to ‘translational shifts’ also tends to incorporate the ‘non-obligatory’ dimension.

### **3.7.2 Obligatory/optional shifts**

Doubts have been expressed from some quarters (e.g. van Leuven-Zwart 1989 and 1990) about the applicability of the distinction between ‘obligatory’ and ‘optional’ shifts. For one thing, the line between optional and obligatory is difficult to draw (especially if generalisations are aimed at). Translators may evaluate optionality and obligatoriness in different ways, there could be conventions involved, and it is difficult for the researcher to be aware of all the potential factors which may influence what should be considered to be obligatory or not, and in what circumstance.

In this study the distinction is, however, useful, because those occurrences which can reasonably be considered to be non-obligatory shifts are relevant for investigating



audience design (which is about selecting between alternatives), whereas obligatory shifts which are dictated, for instance, by systemic differences between the languages involved, cannot be audience design.

Shifts which are not due to systemic differences between Romanian and English were identified (using grammars, where necessary and applicable). Care was taken to include only shifts where viable alternatives are available. Doubtful cases, such as those where the shift could have been caused by differing conventions between the two languages rather than audience design, were included as long as there was sufficient evidence that no systemic differences were involved. In the absence of contrastive Romanian-English studies of discourse, the decision of what is obligatory or optional at this level was difficult to make, and it was left to the qualitative analysis to investigate which of the systemically non-obligatory shifts are also non-obligatory from a discourse point of view.

### **3.7.3 Markedness/unmarkedness**

Another notion frequently used in this study is that of ‘markedness’. It is generally accepted that, in two-term sets, one item acts as the unmarked term (Levinson 1983: 333; Crystal 1985: 189); Lyons (1968: 79) also points out that “It is frequently the case that of two units in contrast [...] one will be positive, or *marked*, the other being neutral, or *unmarked*”. According to Hatim and Mason (1997), the conventional definition of markedness is “either as infrequency of occurrence (that is, less frequently occurring expressions are somehow more significant when they do occur) or as informativity (that is, the less predictable in context an item is, the more information it potentially relays)” (Hatim and Mason 1997: 12). They go on to argue that, by fulfilling expectations, an unmarked text is less dynamic than a marked text, which is expectation-defying; this is also linked to issues of textual conventionality versus textual creativity. In any case, one consequence of the fact that it is frequently the case in a language to have preferred ways of saying something (although alternatives are available) is that the frequently used alternative ends up being perceived as a natural way of expressing oneself in a given circumstance; for example, Toolan (1990: 183) quotes the convention in English to use *that* (rather than *this*) for backward reference. Flouting the maxim of manner by opting for a marked alternative gives rise to implicatures.

Since markedness and unmarkedness do not refer to systemic differences but to conventions of language usage, they are rarely dealt with in grammars. The distinction between what is marked and what is not can be highly dependent upon context of situation, may differ between text-types and genres, and, of course, different conventions may operate in one language compared to another. Once again, in the absence of contrastive Romanian-English studies of discourse, the line is difficult to draw, but the distinction is nonetheless important to remember as a potential issue which may account for some translational shifts.

#### **3.7.4 Deliberateness/non-deliberateness, motivation, intention**

While analysis can help us to describe what happens in translations, and perhaps even to identify representative patterns, the one thing it cannot do is to attribute patterns, in a confident way, to a particular motivation or intention on the part of the translator (Mason 2000: 17; Tymoczko 2002: 19). Attributing intention or motivation based on textual data only, and then using this in order to interpret the very same texts, would mean circularity (Stubbs 1997). In fact, it is not even possible (based on textual evidence only) to state whether a particular shift was a deliberate translator act, as some shifts could be non-deliberate. What the analysis *can* do, however, is to offer plausible interpretations with respect to the phenomena under investigation.

In fact, for an investigation of audience design, it is not necessary (although it would be interesting) to establish deliberateness; audience design can be deliberate or non-deliberate. Textual evidence enables us to speculate that audience design may be at work in a particular circumstance or in a trend, but does not warrant claims about its being deliberate, or about translator motivation/intention.

### **3.8 The status of textual versus contextual evidence for pragmatic analysis**

Contextual evidence about translations, writers of the original texts and translators, as well as socio-political circumstances, are also important for this study. They come from a variety of sources, including translator prefaces and the dust-jacket of translations, and



they can help place translations within the real-world conditions which gave rise to them and enhance the plausibility of interpretation (cf. Myers 1999: 58-9, for whom a 'rematerializing' approach is one which takes into account time, place, participants and enables pragmatic analysis). However, this is still not sufficient to warrant claims about deliberateness, motivation and intention in shifting.

It was initially envisaged that an ethnographic study involving translators, publishing houses, and perhaps readers, could be conducted in order to match textual evidence of audience design with information from those involved in translating, publishing and reading the texts. It was hoped that such evidence (i.e. from interviews or questionnaires) would warrant claims about deliberateness and intention in audience design to be made, which are otherwise impossible because of the danger of circularity. Attempts were made to contact the relevant translators and publishing houses but, given that many translations in the corpus date back more than half a century, it was found that publishing houses no longer know how the translators can be contacted, and some translators are no longer alive. It also appeared improbable that new staff in publishing houses would be aware of the circumstances of translation and publication from decades ago (several attempts were made in this respect), while translators may offer unreliable insights into their own translation processes from such a long time ago. In view of these considerations it was decided that designing the methodology of such an ethnographic study, conducting interviews or sending questionnaires and interpreting them, lay beyond the scope of this work, given the uncertain returns it was likely to bring in terms of the specific research aims of this project, and in view of the constraints of a study such as this one.

Because textual evidence is, then, of central importance to this study of audience design, as is also the case in Critical Discourse Analysis (CDA), and because many of the potential tools for analysis considered here (e.g. presupposition) are shared with CDA<sup>14</sup>, it is important to consider some of the main criticisms which have been brought against CDA in an attempt to ensure, as far possible, that pitfalls are avoided. We shall mainly deal with two aspects, namely representativity and circularity.

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<sup>14</sup> It is important to emphasise that the present study is not a CDA study, mainly because it does not propose to investigate ideology (as most CDA studies do).

CDA has been criticised (e.g. by Stubbs 1997: 107) for working on short fragments of data with no justification whatsoever of their representativity, even though claims are often made with regard to representativity. Working on isolated examples has also given rise to the suspicion that data may have been selected on purpose, to suit the claims the analyst intends to make. The way in which the present study deals with such issues is by working on a corpus which contains all the texts meeting the criteria for inclusion, and sampling according to strict, specifiable criteria (see Chapter 3).

The second danger is that of circularity (see, for example, Stubbs 1997: 106). It is methodologically unsound to decide from the outset what claims one is going to make (e.g. in the case of some CDA studies, the particular political ideology or position in a text). Moreover, basing claims about patterns of belief or behaviour on linguistic evidence alone, ascribing them to the extra-textual world, and then feeding them back into one's interpretation of the text, is not methodologically unproblematic either (Widdowson 2000: 10). The present study, admittedly, aims to identify linguistic evidence of audience design in texts, starting from the assumption (based on research in audience design, interactivity in written texts, and the communicative nature of translation) that some form of audience design is always present whenever (spoken or written) interaction takes place. However, this research keeps an open mind with respect to the nature of the audience design to be found. Also, analysis may or may not point to the existence of trends in audience design in the corpus (ascertaining these is, in fact, the very aim of this research).

Not unrelated to our discussion of circularity is the issue of limitations inherent in any chosen method of investigation (for a discussion of the limitations of the present study, see Chapter 7). In our case, relying largely on textual and contextual evidence, but in the absence of precise statements (e.g. from translators) about the reasons and possible intention or motivation involved in their audience design (see 3.8), affects the nature of the claims which can be made, in the sense that, once evidence of audience design has been unearthed, and its nature explored, it will still not be possible to state, in a confident way, which are the particular factors involved. It will, however, be possible to offer "plausible accounts of choices made by users of texts by placing these choices within the real-world conditions which gave rise to them" (Mason 2000: 18).



Finally, there is the methodological difficulty involved in isolating audience design from other factors which may be involved in shaping translations (see comment earlier in 2.2.3). Using non-obligatory translational shifts (see 3.7.1 and 3.7.2) as a basis for investigation, analysis (see Chapter 5) will then have to proceed in a careful manner and look at particular examples of shifts within their co-text and context, and the interaction of shifts, in order to assess their relevance for the (overall) audience design of a translated text or, on the contrary, to ascertain whether other factors (e.g. conventions) are more likely to be involved.

### **3.9 Romanian literature in English translation: the corpus**

As has been pointed out in 3.8, it is important for textual analysis not to overlook the context in which particular texts (in our case, STs and translations) are produced and used. The aim of the present section is to examine the position translated Romanian literature has so far held within the Western literary polysystem, and the impact this may have on new translation projects into English, and on the translation process itself (3.9.1). Attention will then turn to the source texts and translations included in the Romanian-English corpus (3.9.2).

#### **3.9.1 Romanian literature translated into English**

The case of the Romanian literature is similar to that of other ‘small’ literatures trying to gain access to a literary environment which is not only more or less different from their own but also notoriously wary of translating and welcoming them (Vanderauwera 1985b: 198-9; Venuti 1998: 88; also see 2.2.2.1 for a discussion of polysystems theory). A literary translation from Romanian into English inevitably comes into a context of scarce traditional or present-day (cultural) interaction between Romania and English-speaking countries in general, and Britain in particular; the isolation of Romania from most of the rest of the world, for almost half of the twentieth century during the Communist period, did not particularly help Romanian literature and culture to be known abroad. In fact, a certain unilateral form of contact has taken place all the time, in the form of translations into Romanian from English and other (Western) literatures (Kohn 1998: 538-9), but the reverse process has so far taken place more sporadically,

fuelled at various times by international events which drew the attention to the country (Tappe 1983: 201). The unequal pattern of translating between Romanian and English is perhaps less surprising if considered in view of Venuti's (1995 and 1998) comments about the imperialistic tendency of present-day literary interaction, which follows closely the (economic) power patterns in the world (see 2.2.2.1).

According to Simionescu and Buluță (1981: 161), between 1945 and 1972, 2000 volumes by 790 Romanian authors (works other than literary are also included here) have been translated into 60 languages throughout the world. What they leave implicit, however, is the fact that a great part (though by no means all) of these translations were actually done in Romania and published by Romanian publishing houses. They go on to quote impressive numbers of languages which Romanian literary works have been translated into. For instance, according to them (Simionescu and Buluță 1981: 161), Mihail Sadoveanu's prose has been translated into 36 languages, Liviu Rebreanu has been translated into 29 languages, and Zaharia Stancu into 37 languages (all three authors are represented in the corpus). Based on such figures which do not, however, say anything about the number of copies which were printed and actually reached foreign audiences, or the way they were received in the target culture, Simionescu and Buluță (1981), writing in the then Communist Romania, claim that Romanian literature has virtually conquered the world, and that Romanian writers have been made known to foreign audiences.

Outside Romania, and once Communist rhetoric was abandoned, an altogether different picture appeared to emerge. Thus, according to Impey (1992), "Romanian writers have failed to gain a receptive audience in the West [...] and those considered most representative of the Romanian spirit fare poorly in translation and often pass without comment in the international literary press" (Impey 1992: 59-60). Those Romanian writers who did achieve international recognition were mostly exiles such as Tristan Tzara, Eugen Ionescu, Emil Cioran and Mircea Eliade, whose Romanian origin is in fact largely ignored. Cioran (who wrote in French) is of interest to relatively restricted intellectual circles, while Eliade became famous principally for his work as a historian of religions; his literature, which he continued to write in Romanian, is little known in the USA where he emigrated and in Western Europe (Impey 1997: 101).



The question about which Romanian writers, who continued to live and write in the country of their birth, have received and maintained international recognition, is then bound to receive an extremely discouraging answer (Impey 1997: 103). This is so in spite of enthusiastic claims in prefaces and on the dust-jacket of translations, e.g. that a particular work or another is “one of the major European epic novels of the twentieth century” (the dust-jacket of 1964 translation *The Uprising*, published by Peter Owen), and in spite of favourable comparisons between Romanian authors and writers of international reputation; thus, Liviu Rebreanu is compared to Tolstoy, Zaharia Stancu to Gorky, and, finally, the style of D. R. Popescu in *The Royal Hunt* is compared to that of Gabriel García Márquez in *One Hundred Years of Solitude*.

In his discussion of the main reasons for the continued marginal position of translated Romanian literature (and of English translations) within the Western literary polysystem, Impey (1997) lists poor translations, cultural differences which, according to him, lead to the marginalisation of those authors who preserve strong Romanian roots, the policy of isolation and censorship Romania was subjected to during Communism, and, finally, the cultural imperialism which characterises inter-cultural relations and neglects the so-called ‘minor’ cultures. With respect to the quality of translations, however, he gives the counter-example of the novel *Vînătoarea regală*, by D. R. Popescu. According to Impey (1997: 104) the translation *The Royal Hunt* was particularly felicitous, but the novel received disappointing reviews in the USA.

Translating from a ‘minor’ and virtually unknown literature into a language and into a culture which has a massive, internationally acclaimed literary production of its own, is not without implications with respect to the translation projects which are undertaken, and the translation strategies used. The publishers’ approach to the text is generally commercial<sup>15</sup>, with the best-seller policy in view, and involves an assessment of the market at home, often selecting works that reinforce the “literary, moral, religious or political values already held by the reader” (Venuti 1998: 124); this goes hand in hand with domesticating translation strategies (see 2.2.2.1). Vanderauwera’s (1995a) study of Dutch novels translated into English finds evidence of ‘textual conventionality’ (as opposed to ‘textual creativity’) in translations, and proposes that there is a connection between this and the secondary position that the literary translation system occupies in the target polysystem, and the minority status of Dutch literature; this is similar to

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<sup>15</sup> With the exception of translation projects sponsored by cultural authorities, e.g. UNESCO.

Toury's (1995) 'law of greater standardisation'. To put it a different way, translators in general, and translators from so-called 'minor' literatures into languages such as English, in particular, are likely to be less confident about experimenting, and to be prone to modifying the source text in favour of (what they consider to be) more habitual options offered by the target system.

### 3.9.2 The source texts and translations in the corpus

The 23 source texts included in the Romanian-English literary corpus under investigation are novels and collections of short stories originally written in Romanian in the twentieth century, until 1989 (see 3.4). A variety of topics and literary trends are represented, as well as several authors who have achieved and maintained a central position in Romanian literature (e.g. Rebreanu, Sadoveanu, Stancu, Preda).

While it is likely that the particular ST audience groups which are targeted differ, to various extents, between one literary work and another (e.g. the start-of-the-twentieth century Transylvanian addressees of Agârbiceanu, compared to the second-half of-the-twentieth century readers of Stancu's novels), what all the original texts have in common is that their audience design is for Romanian addressees (for a more detailed model of receiver categories in the STs, see 6.1). Beyond the obvious differences which can be assumed to exist, for example, between the audience of Vasile Voiculescu's short stories of fantasy and magic and a psychological novel like *The Forest of the Hanged* by Liviu Rebreanu, important underlying similarities seem to emerge. Most of the literary works in the corpus<sup>16</sup> draw on the very same reservoir of experience, symbols and myth, and many of them display, in spite of differences in approach, a strong 'centripetal tendency' (to use Impey's 1997: 114 term) - that is, a strong anchorage in the traditions of the past. This tendency manifests itself, on the one hand, in a systematic preference for topics involving a Romanian rural setting, symbols of Orthodox Christianity, regional references, and a tendency towards allegory and metaphor. On another, more philosophical level, the fundamental attitude conveyed (and requested of the readers, in order for optimal interpretation to take place) is one involving, at the very least, a partial detachment from historical time, and stubbornly

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<sup>16</sup> It must be noted, however, that no avant-garde or post-modernist literary works of poetry or prose are included in the corpus.



resisting the belief that one history ends and another one can begin, founded on a new basis (Impey 1997: 71).

The Romanian attitude to life has often been associated with a tendency towards fatalism and passivity (see Deletant 1998); the positive interpretation is that Romanians are concerned with, and better able than most, to articulate what is a universal condition (Mircea Eliade, the historian of religions who wrote about the myth of the eternal return, was a Romanian). The second, unflattering interpretation is less concerned with cosmic verities as with the Romanian unwillingness to experiment, and to move away from established forms, at least until the 'new' has achieved canonical status elsewhere (Impey 1997: 106). Without particularly having to approve or disapprove of the traditional Romanian mentality, it is still something which most (if not all) Romanian readers will be able to relate to in a literary work, and in this respect there can be no doubt about the Romanian-ness of the readers STs are primarily geared to. As has been repeatedly pointed out (e.g. Eulert 1975), however, this mentality is different from the Western view of life, and the Western approach to literature as a vehicle of discovery.

Admittedly, then, for Western readers Romanian literature is the embodiment of a more or less remote cultural 'other'. It is perhaps not entirely surprising that the prefaces and dust-jackets of many translations included in the corpus feel the need to reinforce the Europeanness of Romanian literature, which they argue is "[...] profoundly European in the best sense", although, some admit, "it may seem *remote* and strange in a country like Britain, *far back in history*" (Lindsay 1952: 9; my emphasis). In a way, what such statements do is the very opposite of what they initially set out to achieve, which was to convince readers of the relevance to them of Romanian literature. Instead, they rather give the impression that the very persons involved in translating and publishing Romanian literature are of the view that the books will come across as being remote, and of uncertain relevance to target audiences. Literary conventions at work in Romanian literature, however, are largely modelled upon Western European literary trends and genres<sup>17</sup>, and, as such, entirely recognisable to translators and readers alike.

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<sup>17</sup> "Formée tardivement à l'école de l'Europe occidentale, la littérature roumaine moderne ne pouvait traiter que les genres alors en faveur", "[et fut] envahie par un irrésistible raz-de-mareé qui [menaçait] de lui faire perdre, en la submergeant, toute individualité." (Boutière 1962: 6; my additions).

### **3.10 Summary**

The methodology used in this study is corpus-based, and pragmatics-oriented. It involves both quantitative and qualitative methods of analysis of a corpus of translations into English of Romanian literature; the aim is to unearth textual evidence of the translators' audience design, and to study the nature of the particular audience design involved. Deixis, existential presupposition and cultural presupposition are the main components of the model for analysis which is used.



## **CHAPTER 4**

### **DEICTIC AND REFERENCE SHIFTS: THE FINDINGS**

The aim of this chapter is to present the numerical outcomes of the data cataloguing process. Numbers of translational shifts involving deictic parameters such as demonstratives and adverbs/adverbial phrases, and also definite and indefinite reference shifts (articles) were counted.

#### **4.1 Deixis**

Deixis is a key indicator of the relationship between communicators, text and context. We start our analysis by looking at shifts in the translation of demonstrative deictics (e.g. *this*, *that*), and then adverbs (e.g. *here*, *this month*). An analysis of tense deixis is in 5.1.1.2, and of person deixis in 5.1.1.4.

##### **4.1.1 Deictics in the R sub-corpus**

During the data cataloguing stage it emerged that a variety of non-compulsory deictic shifts occur in translations, rather than a single shift type. This section is concerned with the use of indexicals in the translations from the R sub-corpus.

###### **4.1.1.1 Demonstrative deictic shifts in the R sub-corpus**

We start with the number of occurrences of demonstrative deictic shifts which take place in the sample from the R sub-corpus.

**Table 4.1** The distribution of demonstrative deictic shifts: R sample

No.	Title of TT	[+ DISTANCE]						[- DISTANCE]					
		ST prox. dem. to TT distal dem.		ST prox. dem. not transl. or trans. by other means		TT adds extra distal dem.		ST distal dem. to TT prox. dem.		ST distal dem. not transl. or transl. by other means		TT adds extra prox. dem.	
1a-R	RFT (Califar's Mill)	2		1		1		-		-		3	
1b-R	RFT (Remember)	3	5	-	1	5	6	-	-	-	-	3	6
2a-R	HL (Seven Horns)	-		-		3		-		-		4	
2b-R	HL (Şuer)	-	1	-	2	2	7	-	-	-	2	1	8
2c-R	HL (Prince Cuza)	1		2		2		-		2		3	
3-R	A Man amongst Men	2		3		4		-		-		2	
4-R	Gathering Clouds	4		1		12		-		-		7	
5-R	The Stranger	5		3		1		-		1		-	
6-R	The Morometes	5		3		5		-		1		1	
7-R	Adam and Eve	-		2		4		-		-		1	
8a-R	ET (The First Thorn)	3		1		2		-		1		1	
8b-R	ET (Bee-Fold)	3	6	-	1	5	7	-	-	-	1	1	2
9-R	The Golden Bough	6		7		2		-		6		4	
10-R	The Hatchet	9		4		7		-		1		5	
11-R	TFM (Wolves)	4		2		5		-		1		6	
	<b>TOTAL</b>	<b>47</b>		<b>29</b>		<b>60</b>		<b>-</b>		<b>13</b>		<b>42</b>	
		<b>136</b> (71.20% of all demonstrative shifts)						<b>55</b> (28.80% of all demonstrative shifts)					
		<b>191 demonstrative shifts in total</b>											

The first column of Table 4.1 gives the number of each sample, and letter R stands for the Romanian sub-corpus. For example, 3-R is sample number three from the R sub-corpus. The small case letters a, b, and c, which follow the number of some samples, indicate that the sample comprises several sections and each of them is marked in a different way. Thus, 8a-R and 8b-R are two short stories which together are sample 8-R. In the case of such samples, shifts have been counted separately for each section and their sum is taken to be the overall number of shifts for the sample; for instance, there are two proximal demonstrative to distal demonstrative shifts in 1a and three such shifts in 1b (column 3), therefore the number of proximal demonstrative to distal demonstrative shifts in sample 1 is five.



The second column refers to the title of the novel from which each sample is taken. In the case of short-stories, an abbreviation of the title of the anthology/book is given, followed by the title or an abbreviation of the title of the short story. The list of all the novels and short-stories from which samples were taken is presented in Appendix B. A full list of the translations in the corpus is listed in Appendix A.

Each of the six remaining columns deals with a different translational shift type. Three main shift types are investigated here, and each has a reverse shift type, thus giving a total of six shifts. The three basic types and their reverse are:

- **MAIN SHIFT TYPE: proximal to distal demonstrative (column 3).** An example of such shift, taken from sample 11-R, is from “*vaierete acestea înfiorătoare*” (this frightful wailing) to “that frightful wailing” (for a detailed analysis of this shift in larger co-text, see example 1 in 5.1.1.1).

**REVERSE: distal demonstrative to proximal demonstrative (column 6).** There are no occurrences of such shifts in our samples from the R sub-corpus.

- **MAIN SHIFT TYPE: proximal demonstrative not translated, or translated by means other than a demonstrative (column 4).** Example (taken from 5-R): “*omul acesta cu fața arsă de soare*” (this man with his sunburnt face) → “the man with the sunburnt face” (discussed in example 4, section 5.1.1.1).

**REVERSE: distal demonstrative not translated, or translated by means other than a demonstrative (column 7).** There are few instances (13) of such shifts in the R sub-corpus, compared to other shift types.

- **MAIN SHIFT TYPE: TT addition of an extra distal demonstrative (column 5).** An example of such shift is from “*pe singura laviță din primitoarea cămară*” (on the only bench in the hospitable chamber) → “on the only bench in that hospitable chamber” (sample 1b-R; also see analysis in 5.1.1.5)

**REVERSE: TT addition of an extra proximal demonstrative (column 8).** For instance, “Chipul [...] avea ceva tainic, trist, și totodată vehement în el” (the face [...] had something mysterious, sad and yet vehement in it) → “There was something secret, sad yet vehement in this face” (from sample 11-R; for detailed discussion see example 17 in 5.1.2)

Although columns 3, 4, and 5 deal with a different kind of shift (one involves a decrease in the number of proximal demonstratives in the translation, another involves an increase in the number of distals, and one involves both at the same time), they can all be grouped together because the shifts they deal with have a similar direction/tendency: towards distance [+ distance]. Similarly, the last three columns in the table all deal with shifts in the direction of proximity [- distance] (the first presents shifts from ST distal demonstratives to TT proximal demonstratives, the second deals with ST distal demonstratives which are not translated in the TT, or are translated by means other than a demonstrative and, finally, the last column shows the number of occurrences of TT additions of a proximal demonstrative).

The line at the bottom of the columns gives the total number of occurrences for each individual column. Immediately below is the total for the first three shift columns grouped together, and for the last three columns grouped together; it is the comparison of these numbers which gives information about the overall trend in the sub-corpus.

There are 47 cases of a proximal demonstrative being translated as a distal demonstrative, 29 demonstratives which are not translated or are translated by other means than demonstratives, and 60 occurrences where the TT uses a distal demonstrative where there is no demonstrative in the original. All these shifts are [+ distance]; they belong to the proximal-to-distal shifting direction, or distancing direction as it will be referred to from now on. The opposite direction, [- distance], is represented by thirteen shifts whereby a ST distal demonstrative is not translated or is translated by means other than demonstratives, and by the TT adding an extra proximal demonstrative where there is none in the ST; there are 42 such cases. There are no instances of ST distal demonstratives being translated as proximals.

A comparison between columns shows that there are more distancing shifts than reverse shifts, along all three main/reverse shift types. For instance, there are 47 shifts from proximal to distal demonstratives but no shifts at all from distals to proximals. The absence of any shift from distal to proximal demonstratives in the sample from the R sub-corpus is a pattern in itself. There are 29 cases of proximal demonstratives not translated, but less than half that number (thirteen) of distals which are not translated. And, along the same lines, there are 60 additions of distal demonstratives in the sample, and only 42 additions of proximal demonstratives. These numbers indicate that there is



a preponderance of shifting towards distal demonstratives rather than towards proximals in each shift type that has been examined. The preponderance is more marked in some cases (47/nil for the first shift type) and less marked in others (60/42 for the third shift type).

The sum total of the first three columns (distancing shifts), 136, is almost three times greater than the total of the other three columns (proximal shifting), which is 55. It is interesting to note that this is not due to significantly large entries along any one shift type: the tendency exists along all three shift types. Thus, it can be concluded that overall, in the sample from the R sub-corpus, there is a pattern of shifting towards distance.

The number of [- distance] shifts is considerably lower than that of the above trend; such shifts do not cancel out the trend but deserve investigation if the complexity of what happens in the translations is to be understood. Such reverse shifts will be given due consideration in Chapter 5.

It is significant that each individual sample conforms to the main trend. If we add the numbers of the distancing shift columns and compare the number with the sum of the proximal shifting columns, the first is bigger in each sample. The fact that there is no exception to the trend in this sub-corpus is an important finding. It shows that not only at an overall sub-corpus sample level is the number of distal demonstrative shifts higher than the number for proximal shifts, but that each individual sample, irrespective of the fact that it represents a different book and a different translator, conforms to the pattern. Considering the variety of samples, of ST writers and of R translators, this is an important finding. Nonetheless, a comparison of individual samples shows that there is variation between the number of shifts each of them contributes to the overall picture. For example, in sample 5-R there is only one addition of a distal demonstrative in the translation, but there are seven such additions in sample 9-R.

To sum up, Table 4.1 shows that there is a predominance of shifting towards distal demonstratives in the R sub-corpus, rather than the reverse, and that this tendency is confirmed in each individual sample. The potential effects and reasons for this trend, as well as of individual shifts and reverse shifts, will be dealt with in Chapter 5.

The findings above generate the hypothesis that there may be in this sub-corpus (and perhaps in the other two sub-corpora as well) a tendency to shift from proximal to distal along other deictic parameters too. In order to investigate this, it is necessary to record the ways in which adverbs and adverbial phrases are translated. It will also be interesting to compare the findings from this sub-corpus with findings from the other two sub-corpora (see section 4.1.4), in order to see whether similar things happen, or whether the differences between the subcorpora (in terms of translators' mother tongue and nationality, and the countries where translations were published) bring about a different use of indexicals.

#### **4.1.1.2 Adverbial deictic shifts in the R sub-corpus**

The table below looks at adverb/adverbial phrase shifts in the R sub-corpus.



**Table 4.2** The distribution of adverbial deictic shifts: R sample

No.	Title of TT	[+ DISTANCE]						[- DISTANCE]					
		ST prox. adverb to TT distal adverb		ST prox. adverb not transl. or transl. by other means		TT adds extra distal adverb		ST distal adverb to TT prox. adverb		ST distal adverb not transl., or transl. By other means		TT adds extra prox. adverb	
1a-R	RFT (Califar's Mill)	-		1		-		-		-		-	
1b-R	RFT (Remember)	-	-	-	1	-	-	-	-	-	-	1	1
2a-R	HL (Seven Horns)	-		-		-		-		-		-	
2b-R	HL (Şuer)	-	2	-	2	-	-	-	-	-	3	-	2
2c-R	HL (Prince Cuza)	2		2		-		-		3		2	
3-R	A Man amongst Men	1		5		5		-		-		3	
4-R	Gathering Clouds	3		1		1		1		-		3	
5-R	The Stranger	1		1		4		1		1		1	
6-R	The Morometes	3		2		2		-		1		2	
7-R	Adam and Eve	-		2		1		-		-		1	
8a-R	ET (The First Thorn)	-		3		1		-		1		2	
8b-R	ET (Bee-Fold)	2	2	1	4	3	4	1	1	1	2	2	4
9-R	The Golden Bough	1		3		-		-		2		1	
10-R	The Hatchet	-		4		6		-		3		2	
11-R	TFM (Wolves)	-		-		1		-		2		7	
	<b>TOTAL</b>	<b>13</b>		<b>25</b>		<b>24</b>		<b>3</b>		<b>14</b>		<b>27</b>	
		<b>62</b>						<b>44</b>					
		(58.49% of all adverbial shifts)						(41.51% of all adverbial shifts)					
		<b>106 adverbial shifts in total</b>											

The adverbs/adverbial phrases table is organised in the same way as the demonstrative deictics table. The first column refers to the number of the sample, and the second column gives the title or an abbreviation of the title. Each of the following six columns deals with a translational shift. The first three of them deal with [+ distance] shifts, just as in Table 4.1, while the last three columns present the numbers of reverse shifts [- distance]. An instance of a [+ distance] shift of the type quantified in column 3 of Table 4.2 is from “*Era sară acuma*” (It was evening now/by now) → “It was dark by then” (sample 2c-R; for detailed analysis, go to example 6a in section 5.1.1.3).

A comparison between the total number of occurrences in the distal columns and that of the proximal columns shows the same trend as in Table 4.1. However, there is not such a marked difference between the number of distancing and that of approximating shifts

as in the case of demonstratives. The number of all adverb shifts to distal is 62, while the shifts towards proximal is 44. The numbers for demonstratives were 136 versus 55. The fact that, overall, there are more adverb shifts towards distal rather than to proximal confirms and reinforces the findings in the demonstratives table.

The number of shifts from proximal adverbs to distal adverbs (column 3 of Table 4.2) is thirteen, and that of reverse shifts, from distal adverbs to proximals is considerably lower: three. There are 25 cases of proximal adverbs/adverbial phrases not translated, or translated by means other than adverbials, and only fourteen instances of reverse shifts. This is similar to the situation in Table 4.1. However, there are 24 additions of distal adverbs in the samples, and a slightly higher number of additions of proximal adverbs (27), which suggests that the distancing trend in adverbs is not as clear as in the case of demonstratives, where all the three shift/reverse types do conform to the main pattern.

Table 4.1 showed that in the case of demonstratives not only was the distancing trend apparent overall, and along each shift/reverse type, but also that each individual sample conformed to it because the total of distancing shifts was always higher than the total of proximal shifts in every sample. This is not the case in Table 4.2. There is one sample (1-R) where the total for distancing shifts is equal to the total for proximal shifts, and two samples where the number of proximal shifts is actually higher (2-R and 11-R). However, since the rest of the samples do conform to the trend, it can be said that, overall, and although not with the same unanimity as the demonstratives, deictic adverbs do display a preference for distancing rather than proximal shifting. This tendency supports the trend in demonstratives; the two trends combine to create an overall distancing pattern in the translation of deictics in the R sub-corpus.

We now turn to the findings afforded by the B sub-corpus sample, to investigate whether there is a preference for shifts or for reverse shifts, and if so, whether it is similar to the R sub-corpus findings. The translator nationality and mother tongue differences between the two sub-corpora would create expectations of a different handling of deixis, because deixis is about positioning (spatial and other), and the extra-textual differences between the R and the B sub-corpora are exactly about positioning. It is possible that there will be more shifting in the B sub-corpus compared to the R sub-



corpus, because translators working into their mother tongue may be more prepared to experiment with language than translators working into their foreign language.

#### 4.1.2 Deictics in the B sub-corpus

We start with demonstrative indexicals, and continue with shifts in adverbs.

##### 4.1.2.1 Demonstrative deictic shifts in the B sub-corpus

The findings below refer to demonstrative shifts in the B sub-corpus

**Table 4.3** The distribution of demonstrative deictic shifts: B sample

No.	Title of TT	[+ DISTANCE]			[- DISTANCE]		
		ST prox. dem. to TT distal dem.	ST prox. dem. not transl. or transl. by other means	TT adds extra distal dem.	ST distal dem. to TT prox. dem.	ST distal dem. not transl. or transl. by other means	TT adds extra prox. dem.
1-B	FT (Twelve...)	2	-	2	-	-	-
2-B	The Uprising	-	2	3	-	-	4
3-B	Ion	3	-	9	-	-	-
4-B	The Forest...	3	-	4	-	-	2
5-B	A Gamble with Death	-	-	2	-	1	7
6-B	The Gypsy Tribe	-	1	10	-	3	3
	<b>TOTAL</b>	<b>8</b>	<b>3</b>	<b>30</b>	<b>-</b>	<b>4</b>	<b>16</b>
		<b>41</b> (67.21% of all demonstrative shifts)			<b>20</b> (32.79% of all demonstrative shifts)		
		<b>61 demonstrative shifts in total</b>					

There is a total of 41 distancing demonstrative shifts in the B sub-corpus sample (number obtained by summing up the totals for the three distancing shifts) and approximately half that number (20) of proximal shifting. This would suggest that the B sub-corpus displays a preference for distancing shifts. Such a trend was noticed in the way in which the translation of demonstratives was handled in the R sub-corpus;

however, in that sub-corpus, the number of distancing shifts was almost three times higher than that of proximal shifting, compared to twice as high in the B sub-corpus.

It is also significant to note that, overall, there is more shifting in the R sub-corpus (191 shifts in total) than in the B sub-corpus (61 shifts in total). This is only partially accounted for by the fact that the R sub-corpus sample is almost twice as large as the B sub-corpus sample, 49 500 words compared to 27 000 words (due to the fact that there are more translations in the former). If sample size were the only reason for the greater number of shifts in the R sub-corpus, then the number of shifts in this sub-corpus should be approximately double the number of shifts in the B sub-corpus. However, this is not the case, because the overall number of demonstrative shifts in the R sub-corpus is more than three times the number of shifts in the B sub-corpus; this proportion is reflected in the numbers of both distancing and approximating shifts.

There are eight instances of proximal demonstratives being translated as distal demonstratives, compared to no occurrence of the reverse shift. The absence of any shift from distal to proximal demonstratives was also found in the R sub-corpus; the uniformity of this pattern will be the subject of specific comment in Chapter 6. There are three cases of proximal demonstratives which are not translated, or are translated by means other than a demonstrative, and four reverse shifts – that is, four instances of distal demonstrative not translated or translated by other means. The fact that there is marginally more proximal shifting than distancing along this shift type runs counter to the distancing trend which has so far been noted. However, the numbers are very low and consequently of limited significance: three distancing/four proximal shifts. The TT adds 30 extra distal demonstratives, as compared to the addition of only sixteen extra proximal demonstratives, which is roughly half the number of extra distals. This latter shift strongly conforms to the distancing trend.

At the level of each individual sample, it appears that all but one of the six samples in the sub-corpus conform to the distancing trend, as the sum of distancing shifts is, with one exception, always higher than the sum of proximal shifting. The exception is sample 5-B, where there are only two distancing shifts, as compared to eight proximal shifts; this also calls for comment in Chapter 6. There are two interesting samples where there are no instances of proximal shifting but only distancing shifting (samples 1-B and 3-B).



To sum up, due to the existence of more distancing demonstrative shifts than proximal shifts in all but one sample in the sub-corpus, and because overall there is more distancing shifting than the reverse, the B sub-corpus does follow the distancing trend that has been observed in both demonstratives and adverbs in the R sub-corpus. However, the pattern is not so marked as in the R sub-corpus demonstratives, and there is a counter-trend in the preponderance of proximal shifts in one of the three shift/reverse types; also, one of the samples in this sub-corpus does not conform to the overall trend. The hypothesis that there may be more shifting in the B sub-corpus than in the R sub-corpus is not verified by demonstrative indexicals, and there are fewer [+ distance] shifts than [- distance] shifts in the B sub-corpus than in the R sub-corpus.

#### 4.1.2.2 Adverbial deictic shifts in the B sub-corpus

The table below presents the findings afforded by adverbial shifts in the B sub-corpus.

**Table 4.4** The distribution of adverbial deictic shifts: B sample

No.	Title of TT	[+ DISTANCE]			[- DISTANCE]		
		ST prox. adv. to TT distal adverb	ST prox. adverb not transl. or transl. by other means	TT adds extra distal adverb	ST distal adverb to TT prox. adverb	ST distal adverb not transl., or transl. by other means	TT adds extra prox. adverb
1-B	FT (Twelve...)	-	1	-	-	-	-
2-B	The Uprising	2	6	-	-	-	3
3-B	Ion	2	1	1	-	1	2
4-B	The Forest...	-	2	2	-	-	2
5-B	A Gamble with Death	-	7	1	-	4	6
6-B	The Gypsy Tribe	-	9	1	-	1	7
	<b>TOTAL</b>	<b>4</b>	<b>26</b>	<b>5</b>	<b>-</b>	<b>6</b>	<b>20</b>
		<b>35</b> (57.38% of all adverbial shifts)			<b>26</b> (42.62% of all adverbial shifts)		
		<b>61 adverbial shifts in total</b>					

There are 35 distancing adverb shifts in the B sub-corpus sample, and 26 reverse shifts. This suggests that, overall, the distancing trend is prevalent. The most well represented shifts are: not translating a ST proximal adverb/adverbial phrase or translating it by means other than an adverb (26 instances, which is actually more than in the R sub-corpus; this is interesting because the R sub-corpus is almost twice as large as the B sub-corpus), and adding an extra proximal adverb (20 cases, quite close to the number in the R sub-corpus).

Overall, there are 61 shifts concerning adverbial deictics in the B sub-corpus, compared to 106 shifts in the R sub-corpus. However, the R sub-corpus sample is 49 500 words (from eleven translations) compared to 27 000 words (from six translations) in the B sub-corpus, which means that it is almost twice as large. The B sub-corpus is 54.55% the size of the R sub-corpus, but the number of shifts in the B sub-corpus is 57.55% of the number of shifts in the R sub-corpus. This suggests that there is marginally more adverb shifting in the B sub-corpus compared to the R sub-corpus, while in the case of demonstratives we saw that there is more shifting in the R sub-corpus.

There is a very small number of shifts from proximal adverb/adverbial phrase to distal adverb/adverbial phrase (4), and no reverse shifts. The absence of any shifts from distal to proximal has been noted in the R sub-corpus as well, and in the demonstratives in the B sub-corpus. The 26 instances where a proximal adverb/adverbial phrase is not translated, or is translated by means other than an adverb, actually surpasses the number for this shift type in the R sub-corpus sample, which is twice as large, and there are only six reverse shifts (ST distal adverb not translated, or translated by means other than an adverb), compared to the fourteen in the other sub-corpus. Conversely, there are only five additions of a distal adverb and a much higher number (20) of additions of a proximal adverb in the translation. This particular shift type goes against the overall distancing trend, and, moreover, contradicts it in a very unambiguous way because the number of counter-occurrences is so high. To draw a comparison with the same shift in the R sub-corpus, there were 24 distancing shifts there and 27 cases of proximal shifting along this parameter, so that the same counter-trend can be noted in the R sub-corpus, although in a less marked way.

The distancing trend is observable in each individual sample, with one exception: 5-B. In this sample, the number of distancing adverb shifts (8) is slightly smaller than that of



proximal shifting (10). It is interesting to notice that the same sample was also an exception to the distancing trend in demonstratives, which singles the translation out from the others in the sub-corpus (for discussion see chapter 6).

It can be concluded that the overall demonstrative and adverb/adverbial phrase shifting pattern is the same as that found in the R sub-corpus sample. Nonetheless, while exhibiting an overall distancing preference, the translations from the B sub-corpus do this in a less spectacular way, as the numerical difference between distancing and proximal shifts is not as large as in the R sub-corpus. In both sub-corpora, the difference is more obvious in demonstratives (almost three times more distancing shifts than proximal in the R sub-corpus, and twice as many distancing compared to proximal shifts in the B sub-corpus). Adverbs, in both sub-corpora, show a less distinct pattern: 62 distancing shifts in R sub-corpus adverbs compared to 44 proximal shifts, and 35 distancing adverb shifts in the B sub-corpus compared to 26 proximal shifts. The hypothesis that English native speaker translators use more deictic shifting when translating Romanian literature into their mother tongue has been verified by adverbs (but the difference is marginal), and has not been verified by demonstratives.

### **4.1.3 Deictics in the M sub-corpus**

We now turn to the findings afforded by the analysis of the M sub-corpus which, as shown in 3.4.2, is a mixed collection of texts containing translations which did not fall neatly within either the R or the B sub-corpora, but fulfilled the criteria for inclusion in the overall corpus.

#### **4.1.3.1 Demonstrative deictic shifts in the M sub-corpus**

The table below presents the figures for demonstrative shifts in the M sub-corpus.

**Table 4.5** The distribution of demonstrative deictic shifts: M sample

No.	Title of TT	[+ DISTANCE]						[- DISTANCE]					
		ST prox. dem. to TT distal dem.		ST prox. dem. not transl. or transl. by other means		TT adds extra distal dem.		ST distal dem. to TT prox. dem.		ST distal dem. not transl. or transl. by other means		TT adds extra prox. dem.	
1a-M	RSS (Fefelega)	1		9		5		1		5		4	
1b-M	RSS (Remember)	3	4	-	9	3	8	-	1	-	5	2	6
2-M	The Royal Hunt	16		4		8		-		7		4	
3-M	Mitrea Cocor	3		6		13		1		5		3	
4-M	Ancuta (Dragon)	2		9		3		-		4		4	
5a-M	Tales of War (Grivita)	-		-		3		-		-		1	
5b-M	Tales of War (Woes)	-	-	3	3	2	5	-	-	-	-	1	2
6-M	Barefoot	6		-		5		-		-		1	
	<b>TOTAL</b>	<b>31</b>		<b>31</b>		<b>42</b>		<b>2</b>		<b>21</b>		<b>20</b>	
		<b>104</b> (70.75% of all demonstrative shifts)						<b>43</b> (29.25% of all demonstrative shifts)					
		<b>147 demonstrative shifts in total</b>											

It is interesting to note that, although the M sub-corpus is composed of six samples, like the B sub-corpus, there are more shifts here than in the other sub-corpora (see Tables 4.1 and 4.3). The overall number of distancing demonstrative shifts is 104 (compared to only 41 in the B sub-corpus, which is the same length), while the number of proximal shifts is 43 (compared to 20 in the B sub-corpus); in other words, the number of shifts in the M sub-corpus is more than double the number of shifts in the B sub-corpus (147 compared to 61). Moreover, there is more shifting here than in the R sub-corpus. The size of the M sub-corpus sample is equal to that of the B sub-corpus and is 54.54% of the size of the R sub-corpus, but the number of shifts here is 76.96% of the number of shifts in the larger sub-corpus (147 shifts in the M sub-corpus/191 shifts in the R sub-corpus). Thus, there is considerably more demonstrative shifting in the M sub-corpus than in the other sub-corpora.

As can be seen in the table above, there are more than twice as many distancing shifts as there are proximal shifts; therefore the distancing trend in demonstratives discussed previously is present in the M sub-corpus too.



There are 31 shifts from proximal demonstratives to distal demonstratives, and two reverse shifts. This is the first case of any shifts at all being encountered in the category distal to proximal demonstrative. There are 31 instances of ST proximal demonstratives not being translated, or translated by means other than a demonstrative, and 21 cases of the reverse shift, that is, of a ST distal demonstrative not being translated, or translated by means other than a demonstrative. There are 42 instances when the TT adds an extra distal demonstrative, and less than half that number (20) of additions of a proximal demonstrative. It can be concluded that in each of the three major shift/reverse types, the distancing trend is prevalent.

A comparison between Table 4.3 (demonstratives in the B sub-corpus) and Table 4.5 (demonstratives in the M sub-corpus) shows that considerably more shifting and reverse shifting takes place in the latter, although the size of these two sub-corpora is equal (27000 words). Compare, for example, eight shifts from proximal to distal demonstratives in the B sub-corpus with 31 such occurrences in the M sub-corpus. Similarly, there are only three cases of proximal demonstratives not being translated, in the B sub-corpus, and a much larger number, 31, in the M sub-corpus. It appears that, as far as demonstratives are concerned, English native translators in the B sub-corpus intervene in the text less than their colleagues in the R sub-corpus, and, certainly, less than the translators in the M sub-corpus.

In each individual sample, the sum of the distancing shifts is larger than the sum of proximal shifting occurrences. For example, in sample 3-M there are three shifts from proximal to distal demonstrative, six cases of a proximal demonstrative not being translated, and thirteen additions of a distal demonstrative; this gives a total of 22 distancing shifts in the sample, compared to only nine cases of proximal shifting (one distal demonstrative translated as a proximal demonstrative, five distal demonstratives not translated at all or translated by other means than demonstratives, and three additions of a proximal demonstrative).

Consequently, the translation of demonstrative deictics in the M sub-corpus displays a noticeable distancing trend. This trend appears at an overall level, and in each of the three major shift/reverse shift types. It is also manifest in each individual sample,

because the sum of distancing shifts is bigger than that of proximal shifts in all the samples in the sub-corpus.

#### 4.1.3.2 Adverbial deictic shifts in the M sub-corpus

We now turn to the findings related to deictic shifts in adverbs/adverbial phrases.

**Table 4.6** The distribution of adverbial deictic shifts: M sample

No.	Title of TT	[+ DISTANCE]						[- DISTANCE]					
		ST prox. adverb to TT distal adverb		ST prox. adverb not transl. or transl. by other means		TT adds extra distal adverb		ST distal adverb to TT prox. adverb		ST distal adverb not transl., or transl. by other means		TT adds extra prox. adverb	
1a-M	RSS (Fefelega)	1		3		3		1		4		4	
1b-M	RSS (Remember)	-	1	-	3	-	3	-	1	-	4	-	4
2-M	The Royal Hunt		1		1		6		1		-		3
3-M	Mitrea Cocor		1		2		11		-		3		8
4-M	Ancuta (Dragon)		1		4		3		-		1		7
5a-M	Tales of War (Grivita)	-		-		1		-		-		-	
5b-M	Tales of War (Woes)	-	-	2	2	1	2	-	-	1	1	1	1
6-M	Barefoot		-		-		10		-		-		6
	<b>TOTAL</b>		<b>4</b>		<b>12</b>		<b>35</b>		<b>2</b>		<b>9</b>		<b>29</b>
		<b>51</b> (56.04% of all adverbial shifts)						<b>40</b> (43.96% of all adverbial shifts)					
		<b>91 adverbial shifts in total</b>											

As can be seen from the table above, the number of the three distancing shift types (51) is higher than the proximal shifts (40), but less markedly so compared to the case of demonstratives.

There are four shifts from proximal adverb to distal adverb in the M sub-corpus, and two cases when a distal adverb is translated as a proximal. Twelve proximal adverbs/adverbial phrases are not translated at all, or are translated by means other than an adverb; a lesser number (nine) of distal adverbs have not been translated. In



addition, there are 35 additions of a distal adverb/adverbial phrase in the TT, with only 29 reverse shifts, that is, additions of a proximal demonstrative in the TT. It is clear that the distancing trend appears to be slightly predominant along each shift/reverse type.

As far as individual samples in this sub-corpus are concerned, if we consider the number of occurrences of the three distancing trends and compare the result with the sum of the proximal shifting cases, it appears that in each sample the distancing pattern is preserved.

The way in which the translation of adverbs and adverbial phrases is dealt with in the M sub-corpus sample suggests that a distancing pattern is in operation and that it is manifest both in the corpus as a whole, and in each individual sample.

#### 4.1.4 Conclusions

The analysis of demonstratives and adverbs suggests that a distancing pattern operates in the three sub-corpora and for both features, as summarised in the table below.

**Table 4.7** [+ DISTANCE] and [- DISTANCE] deictic shifts in the sub-corpora samples

		[+ distance]	[- distance]
<b>R sub-corpus</b>	Demonstratives	136	55
	Adverbs	62	44
<b>B sub-corpus</b>	Demonstratives	41	20
	Adverbs	35	26
<b>M sub-corpus</b>	Demonstratives	104	43
	Adverbs	51	40

The numbers in the [+ distance] column are consistently higher than their counterparts for [- distance], for both demonstratives and adverbs. It appears that both Romanian translators and English native speaker translators adopt, in a deliberate or non-deliberate way, a distancing translational strategy which is more salient in demonstratives than in adverbs. However, in spite of there being unanimity as far as the existence of the distancing pattern in the three sub-corpora is concerned, there is some variation with respect to the strength with which this pattern manifests itself.

**Table 4.8** Demonstrative shifts and adverbial shifts in the sub-corpora samples and in the overall corpus sample

	Demonstratives		Adverbials	
	[+ distance]	[- distance]	[+ distance]	[- distance]
<b>R sub-corpus</b>	136	55	62	44
<b>B sub-corpus</b>	41	20	35	26
<b>M sub-corpus</b>	104	43	51	40
<b>THE CORPUS (total)</b>	281	118	148	110

As can be seen from the table above, in each sub-corpus the distancing is more salient in demonstratives than in adverbs, although the latter also conform to the trend. The R sub-corpus sample has the greatest number of distancing shifts in both demonstratives (136 shifts, compared to 41 in the B sub-corpus and 104 in the M sub-corpus), and adverbs (44, compared to 26 in the B sub-corpus and 40 in the M sub-corpus). The M sub-corpus has the second greatest number of occurrences, while the B sub-corpus has the lowest number of shifts.

The numbers in Tables 4.7 and 4.8 must be considered in relation to the size of the sample from each sub-corpus. The B sub-corpus and the M sub-corpus samples are equal in size (27000 words each) and therefore findings are comparable, but the R sub-corpus is almost double the size of the other sub-corpora (49 500 words) and this needs to be taken into account when comparing numbers of occurrences. While there are more shifts in the sample from the R sub-corpus, the fact that the M sub-corpus (which is almost half its size) nearly equals their number shows that there is actually more shifting taking place in the M sub-corpus. The distancing trend is weakest in the B sub-corpus.

It is also useful to look at overall shift numbers in relation to the numbers of occurrences of deictics in the source texts. In fact, in order to judge the importance of translational shifts, it is imperative that we give an indication of the relative frequency of such shifts compared to the number of deictics which already exist in the source texts. A systematic, comprehensive count of all ST demonstratives and adverbials was made manually, and the figures are presented below.



**Table 4.9** The number of demonstrative and adverbial deictics in the source text sample

	<b>ST prox. dems.</b>	<b>ST distal dems.</b>	<b>ST prox. advs.</b>	<b>ST distal advs.</b>
<b>R sub-corpus</b>	191	57	171	125
<b>B sub-corpus</b>	45	11	128	41
<b>M sub-corpus</b>	93	52	93	57
<b>TOTAL (The Corpus)</b>	329	120	392	223

Table 4.9 presents the number of proximal and distal demonstratives (columns 2 and 3) and adverbs (columns 4 and 5) in the STs of the three sub-corpora and in the corpus sample as a whole. It was found, for example, that there are 191 proximal demonstratives in the R sub-corpus sample; since there are 76 instances of proximals translated as distals or not translated as demonstratives (see Table 4.1, total of column 3 plus total of column 4), this means that 39.79% of the ST proximal demonstratives are shifted in translation, which is a significant proportion. There are 171 proximal adverbials in the R sub-corpus sample and 38 are shifted (Table 4.2), which is 22.22%. In the case of distal demonstratives in the R sub-corpus, 22.81% of ST distal demonstratives were found to shift towards proximal, and there is an astonishing 105.26% of extra distals added in the translations. As far as the B sub-corpus is concerned, it was found for instance that 24.44% of all ST proximal demonstratives are shifted, and 22.44% of proximal adverbials are shifted. In the case of the M sub-corpus, a very high number (66.67%) of all ST proximal demonstratives are shifted in translation, and 17.20% of ST proximal adverbials. What these percentages tell us is that the number of translational deictic shifts is by no means insignificant, compared to the total number of occurrences in the source texts. Rather, we can conclude that an important proportion of ST deictics are shifted via translating.

The remarkable consistency of the trend (preference for [+ distance] shifting in all sub-corpora and for both demonstratives and adverbs) confirms that the size of the samples is big enough; larger samples would merely confirm the same.

## 4.2 Articles

We now present the numerical findings which relate to the translation of articles. Using the definite article on first mention of an item in a text presupposes familiarity with that item – or at least acts as an invitation to the reader to treat it as such. The way in which reference (definite, indefinite, and, in English, the zero article) is translated in the corpus is relevant for both the investigation of readership design from a deixis perspective, and to the investigation of readership design using presupposition as an instrument for analysis. The two uses which reference can be put to are interrelated to a large extent.

### 4.2.1 Articles shifts in the R sub-corpus

We start with the articles in the R sub-corpus.

**Table 4.10** The distribution of article shifts: R sample

No.	Title of TT	ST		TT adds extra	
		definite reference	indefinite reference	def. reference	or translates indef. ref. as definite
1a-R	RFT (Califar's Mill)	5	6	1	1
1b-R	RFT (Remember)	1		-	
2a-R	HL (Seven Horns)	9	13	-	1
2b-R	HL (Şuer)	2		-	
2c-R	HL (Prince Cuza)	2		1	
3-R	A Man amongst Men	4		4	
4-R	Gathering Clouds	2		1	
5-R	The Stranger	-		-	
6-R	The Morometes	4		2	
7-R	Adam and Eve	30		6	
8a-R	ET (The First Thorn)	4	4	2	6
8b-R	ET (Bee-Fold)	-		4	
9-R	The Golden Bough	16		4	
10-R	The Hatchet	18		14	
11-R	TFM (Wolves)	23		4	
	<b>TOTAL</b>	<b>120</b>		<b>43</b>	



The table above presents the number of reference shifts in the R sub-corpus. Two main shift types are investigated. The first of them includes shifts from ST definite reference to TT indefinite reference (e.g. “*Minodora puse lîngă fărămături scăfița știrbă*”, Gloss: “Minodora placed the little chipped bowl by the crumbs” → “Minodora set a broken bowl on the floor by the crumbs”, from sample 10-R; for detailed analysis, see example 6c in 5.2.1.1). TT additions of extra definite reference and shifts from ST indefinite reference to TT definite reference constitute the second shift type (e.g. “*Prisacă de altădată*”, Gloss: “Bee-fold from long ago” → “The Old-time Bee-Fold”, in the title of the short story in 8b-R; this example is discussed in 5.2.1.2).

As can be seen in Table 4.10, there are 120 shifts from definite to indefinite reference in the sample from the R sub-corpus, and 43 shifts in the direction of increased definiteness; the number of shifts which increase indefiniteness is almost three times the number of reverse shifts. This evidence, combined with the fact that in all but one sample (8-R) the number of shifts towards the indefinite is higher or, at least, equal to that of shifts towards the definite, suggests that the pattern of shifts involving articles in the R sub-corpus sample is towards the indefinite. Sample 8-R is the only exception to this; there are four shifts towards the indefinite and six shifts towards the definite there. In addition, there is one sample (3-R) in which the number of shifts towards the indefinite is equal to the number of shifts towards the definite. All the other samples adhere to the trend, but there is considerable variation in the number of occurrences which each of them contributes to and against the trend. To give an extreme example, there are only two shifts towards the indefinite in 4-R, and as many as 30 such shifts in 7-R. There is one sample (5-R) where no reference shifts occur at all. Individual variation in terms of shift numbers, as well as the indefinite shifting trend which has been detected, will be investigated in-depth in 5.2.1.

#### 4.2.2 Article shifts in the B sub-corpus

We now present the number of occurrences of reference shifts in the sample from the B sub-corpus. It will be particularly interesting to see whether a trend can be identified, and, if so, whether it is similar to that in the R sub-corpus.

**Table 4.11** The distribution of article shifts: B sample

No.	Title of TT	ST definite reference to TT indefinite reference	TT adds extra def. reference or translates indef. reference as definite
1-B	Fantastic Tales (Twelve)	-	-
2-B	The Uprising	6	1
3-B	Ion	4	2
4-B	The Forest	3	2
5-B	A Gamble with Death	9	10
6-B	The Gypsy Tribe	14	4
	<b>TOTAL</b>	<b>36</b>	<b>19</b>

Table 4.11 shows that, overall, there is more shifting towards the indefinite (36 instances) than towards the definite (19), thus suggesting that a similar trend to that in the R sub-corpus is in operation here. However, as a comparison between Table 4.10 and Table 4.11 reveals, the trend in the B sub-corpus is less strong: there are almost twice as many shifts towards the indefinite as shifts towards the definite in the B sub-corpus, compared to three times more indefinite shifts than definite shifts in the R sub-corpus.

As in the R sub-corpus, where there is one sample which does not conform to the trend, the B sub-corpus also has an exception to the trend (sample 5-B). There is also a sample (1-B) where no shifts at all have been observed.

### 4.2.3 Article shifts in the M sub-corpus

Finally, we turn to reference shifts in the M sub-corpus.



**Table 4.12** The distribution of article shifts: M sample

No.	Title of TT	ST definite reference to TT indefinite reference		TT adds extra def. reference or translates indef. ref. as definite	
1a-M	RSS (Fefelega)	9	15	5	8
1b-M	RSS (Remember)	6		3	
2-M	The Royal Hunt	15		5	
3-M	Mitrea Cocor	10		4	
4-M	Ancuta's Inn (Dragon)	9		4	
5a-M	Tales of War (Grivita)	14	29	-	-
5b-M	Tales of War (Woes)	15		-	
6-M	Barefoot	7		2	
	<b>TOTAL</b>	<b>85</b>		<b>23</b>	

With 85 reference shifts towards the indefinite and 23 reverse shifts (which is only a little more than one quarter of the former), the sample from the M sub-corpus displays the strongest indefinite shifting in the corpus. This is reflected in each individual sample in the sub-corpus, as the numbers of indefinite shifts are, without exception, greater than those of definite shifts.

#### 4.2.4 Conclusions

A preference towards indefinite [- definite] rather than definite [+ definite] shifting was found in all three sub-corpora. This does not mean that the translators shift every definite article towards an indefinite, but that, should a shift take place, it is more likely to be towards the indefinite. There are differences between the three sub-corpora, in that the trend is stronger in the M sub-corpus and in the R sub-corpus, and weaker in the B sub-corpus, as can be seen in the table below:

**Table 4.13** Reference shifts in the sub-corpora and in the corpus sample as a whole

	[- definite]	[+ definite]
R sub-corpus	120	43
B sub-corpus	36	19
M sub-corpus	85	23
<b>THE CORPUS</b>	<b>241</b>	<b>85</b>

The number of [-definite] reference shifts in the R sub-corpus is almost three times the number of [+ definite] shifts in the same sub-corpus, while in the M sub-corpus the preference for indefinite shifting is even stronger: almost four times as many [-distance] shifts as [+ distance] shifts in the sub-corpus. Considering that the size of the R sub-corpus sample is almost twice the size of M, but that the number of [- definite] shifts in the former is less than double the number of [- distance] shifts in the latter (85), there is no doubt that it is actually the M sub-corpus which displays the strongest trend. Fewer shifts in general occur in the B sub-corpus, and the distancing trend is less distinct than in the other sub-corpora, with less than twice as many [- definite] shifts than [+ definite] shifts.

### **4.3 Concluding remarks**

It has been shown (in section 4.1.4) that shifting is a significant phenomenon, which affects an important number of the ST demonstratives and adverbs. When shifts occur, they are predominantly from proximal to distal (demonstratives, adverbs/adverbial phrases) or from definite to indefinite reference, rather than the other way round. This tendency is present in each sub-corpus, at an overall level; the great majority of individual samples also conform to the overall trend in spite of the variety of source texts and translators, places and dates of publication. It can therefore be concluded that [+ distance] and [- definiteness] are overall trends operating in the entire sample from the translational corpus. In as much as each sample is representative of the literary work it belongs to, it can be stated with some degree of confidence that the trend appears to be representative of the entire corpus.

Due to the variety of translators and places of publication, it might have been expected that there would be some differences between the three sub-corpora in terms of predominant shift trends. Indeed, some differences can be detected, but they refer to the strength with which the trend manifests itself rather than to the nature of the trend itself. What is surprising is that, on demonstratives, adverbs, and reference, all three sub-corpora display the same distancing trend.

It is interesting to note that it is the B sub-corpus (native speakers of English) which displays the least distinct distancing trend, and indeed, there is less shifting in general,



in both indexicals and reference. The opposite may have been expected, as native users might be expected to be more confident about shifting. On the contrary, it appears that it is the Romanian translators who use more distancing shifts, which suggests that there are less-than-obvious mechanisms governing a translator's work. Chapter 6 will look into some of the complex reasons/potential explanations for the above mentioned trend, and for the fact that Romanian translators translating Romanian literature into English use more distancing deictics and reference than English native speakers do when translating a foreign literary work.

In spite of the usefulness of numbers of occurrences in pointing to trends, several drawbacks are involved in relying on numbers of occurrences to describe translational phenomena. One such problem is that the various occurrences appear as having an equal weight or importance within the overall picture, which is not always the case. Moreover, categories are hardly ever as clear-cut as the tables above would suggest they are. For instance, a shift from proximal indexical to distal can, in one case, indicate increased emotive distance, as in this example: "All this, he realised, because of that crook Paunescu" (Eliade 1990: 33, see Appendix B) but in other cases it works in the opposite direction, by emphasising emotive closeness: "[...] and what that poor man told me [...]" (Rebreanu 1964: 200, Appendix B). It must therefore be stressed that, to some extent, numbers of occurrences refer to surface signals rather than to in-depth analysis; and one and the same surface signal may usually mean one thing, but can occasionally mean something else. Thus, a large number of distal demonstratives in a text, while generally signalling distance, may not always do so.

Subtle differentiation may be made between those instances when deictics qualify the relationship between characters or a character and something in the story, and those instances (which make the main inquiry of this study) which indicate distance or proximity between narrator/translator and the story as a whole, and expected distance or proximity between reader and story. However, another view on this is that even when an indexical appears to refer to the interaction between characters or a character and something in the story, the way in which language is used can be traced to the translational point of view, and to a deliberate or non-deliberate reshaping of the way in which events and characters are perceived.

Some shifts may be due to one form being preferred in English and another being preferred in Romanian. These are cases which Romanian and English grammars would not list as systemic differences between the two languages, and yet language in use points to the existence of subtle differences between the forms that are preferred, those which are marked or unmarked in a certain conversational encounter. But then, not all Romanian translators would be aware of all the conventions in English.

Finally, apparently conflicting shifts occur in translations, and indeed, within the same translation (i.e. from proximal to distal deictic in one sentence, and the reverse just a few lines later); quantitative analysis can point to their existence and their number, but cannot investigate them in depth.

Because of the complexity of translational phenomena, the reasons why a shift occurs as well as potential effects of shifting have to be investigated in greater depth than that afforded by quantitative analysis. Such phenomena are best left to qualitative analysis, which will be the subject of the following chapter.



## **CHAPTER 5**

### **DEIXIS, PRESUPPOSITION AND AUDIENCE DESIGN**

The purpose of this chapter is to present an in-depth analysis of actual shifts in their context and co-text in order to explore their relevance for audience design. Numbers of occurrences were examined in Chapter 4 and they revealed the existence of trends in the translation of both deictics and articles throughout the corpus: [+ distance] shifts in demonstratives and adverbs and [- definite] shifts in the translation of reference are prevalent. By using contextualised analysis, the present chapter seeks to investigate the ways in which deixis and presupposition contribute to the emergence of the target text's audience design, which may be different from the audience design of the original text.

Our investigation mainly deals with shifts, but also looks at instances when no shift happens (for example, a proximal demonstrative being translated as such). Instances of non-shifting are important for two reasons: first of all, because the analysis of a particular shift can be more revealing when plotted against instances when such a shift could have taken place but did not (what is shifted versus what is not shifted); secondly, because something being shifted in one place and not shifted in another would suggest that the translator did not submit to obligatory grammatical rules or conventions of language usage but rather that she had viable alternatives to select from.

We start by exploring distance versus proximity in the use of deixis in the Romanian-English translational corpus (section 5.1). An insight into the translators' assumptions about their readership will come from the analysis of presuppositions triggered by the use of the definite article (5.2.1) and cultural presuppositions (5.2.2). Two case studies (section 5.3) based on longer text units explore the interaction of deixis and presupposition towards the shaping of the audience design of translations. Finally, the findings of the analysis will be summarised and tentative conclusions will be drawn in section 5.4.

## **5.1 The distancing trend in deictics**

In this section we examine actual deictic shifts and explore their contribution to the way in which the text positions readers, and the information they give us about how translators position themselves towards the text and their readership. We start with the main pattern in the corpus: [+ distance] shifting.

### **5.1.1 Distancing in the translations**

Due to the fact that deictics work in clusters, isolating a demonstrative or an adverb from the network of surrounding deictics may often supply only a partial perspective. Demonstratives, adverbs and verbal tenses, as well as person deixis, need to be considered together, placing emphasis on their interaction rather than on each deictic parameter separately. For the purpose of analysis, however, we start with several examples of demonstrative shifts, then tense shifts, adverbs, and person deixis separately, and continue with increasingly complex examples in which translational shifts involving several types of deictic parameters are present.

#### **5.1.1.1 Demonstrative shifts in the corpus**

Our first example comes from a short story entitled *Among the Wolves*. The story was written in 1947 and first published in 1966. The English translation appeared in Romania in 1986 in the volume *Tales of Fantasy and Magic* alongside other stories by the same author, Vasile Voiculescu (medical doctor, poet and novelist). In the corpus, the volume belongs to the R sub-corpus. It is surprising that this translation was published in the then Communist Romania, because Voiculescu had been a political dissident and imprisoned on account of his anti-regime views. More than twenty years passed between the author's death in 1963 and the publication of the translation, so it is possible that the regime relented somewhat in that time and started seeing some advantage in claiming for the cultural patrimony of Communist Romania Voiculescu's literary achievements. A similar process of destroying the man but preserving (part of) the work happened to other writers, for example the Nobel candidate Lucian Blaga.



The translator is Ana Cartianu, who has translated extensively from Romanian literature (nineteenth and twentieth century) into English. The number of her translations is probably equalled only by Eugenia Farca (four of whose translations are also included in our corpus). Besides Voiculescu's stories, two other translations by Cartianu are in the corpus: *Romanian Fantastic Tales* and *History and Legend in Romanian Short Stories and Tales*, published in Bucharest during the Communist period (for a discussion of translator styles see 6.3).

In *Among the Wolves* a country judge with an interest in folklore explores local customs and becomes acquainted with a wolf tamer whom he convinces to show him his skill in dealing with wild animals. At night, on the Eve of St. Andrew's Day, they leave the village and, after a long journey, they reach a remote location in the nearby forest. They climb into a tree and the wolf tamer then calls the wolves, which do not fail to respond to his unusual summons. A fantastic story unfolds, in which wolf tamer and beasts are engaged in a battle of wills and the judge is nearly killed when he fails to hold tight to the branches of the tree and tumbles down among the animals. The story is narrated in the first person in both ST and translation.

### (1)

ST: Deodată, din văzduhul de deasupra mea țîșni un plînset amar, o schelăitură jalnică, schimbată într-un urlet uriaș [...]. Ridicai ochii. Omul, înălțat pe o creangă de care-și încolăcise brațele, ieșea afară din coroana copacului cu obrazul plecat asupra unui lucru pe care-l ținea cu amîndouă mîinile și din care scotea vaierele acestea înfiorătoare. (Voiculescu 1998: 300)

Gloss: *Suddenly, from the sky above me, a bitter weeping bubbled forth, a sorrowful yelping, turning into a powerful howl [...]. I raised my eyes. The man, perching on a branch which he clung to with both arms, rose above the crown of the tree, his face bent upon something he was holding with both hands and out of which he was producing these frightful sounds.*

TT: Suddenly, from above, bitter weeping bubbled forth, a sorrowful yelping, rapidly changing into a monstrous, prolonged [...] howl. [...] I looked up. Perching upon a branch that he clung to with both arms, the man rose above the crown of the tree. His face was bent upon a thing that he was holding in both hands out of which came that frightful wailing. (Voiculescu 1986: 182)

The shocking experience of finding himself at night among the wolves and how the wolf tamer's magic saved him from sure death is recounted years later by the judge at a

social gathering. The character-narrator is clearly emotionally involved in the extraordinary adventure which took place long ago and one of the ways in which this is signalled in the Romanian is by proximals such as '*acestea*', which bring the narrated events closer to the audience while also suggesting that the narrator's viewing position is one of closeness to the story (Simpson 1993: 18). The underlined word in example (1) is a demonstrative adjective which fulfils in both ST and TT an anaphoric function.

As suggested in Richardson (1998: 139), the translation of demonstratives in anaphoric reference represents a common problem, not only because there are subtle differences between languages as far as the use of demonstratives is concerned, but also because quite often there is an element of choice between what is perceived as the main tendency in the target language and other, less preferred, but viable, alternatives. 'That' is the usual choice of demonstrative for backward reference in English (and is therefore the unmarked option in such a context), while 'this' is the unmarked demonstrative for forward reference (Toolan 1990: 183). This is not a rule which applies all the time, however, but more of a preference – perhaps a default option in many conversational encounters. Toolan himself gives examples of this convention being flouted for stylistic reasons. Writers employ demonstratives (and adverbs) to construct spatio-temporal location, as well as psychological point of view (Simpson 1993: 13), which can be construed as occupying the scale between maximum distance and minimum distance (maximum closeness), with neutral stance somewhere in between. Using a distal demonstrative instead of a proximal in anaphoric situations may indeed have an element of convention to it, perhaps because of the tendency for less risky, unmarked forms, but this is far from accounting for all the reasons there may be (most notably, pragmatic reasons). As emphasised by Richardson (1998: 139), the choice can be "less than straightforward" because viable alternatives (governed by a variety of considerations) are available in many cases.

Thus there appears to be considerable leeway in the use of demonstratives in English, and the same is the case in Romanian, where proximal and distal demonstratives can both be used in a variety of situations to indicate involvement, closeness, and presence, as opposed to distance or impersonal stance<sup>18</sup>.

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<sup>18</sup> It is not the case that proximals always indicate closeness, and distals always indicate a distancing stance. For a counter-example, see section 4.3. Also, sometimes it is the article which would be the unmarked form, rather than a demonstrative (see example 4 in this section)



It would have been possible for the Romanian text (example 1) to say “*vaierete acelea înfiorătoare*” (those frightful sounds) instead of “*vaierete acestea înfiorătoare*” (these frightful sounds), just as it would have been a viable alternative for the translator to translate literally and use the proximal deictic rather than a distal; moreover, there is a strong possibility that the ST use of a proximal is marked (see 3.7.3) and therefore a carrier of extra meaning. The fact that in both ST and TT an alternative existed and thus free choice could be exercised makes the TT selection of a distal demonstrative particularly relevant. Furthermore, if it is the case that the source text proximal is marked, then the shift is even more significant by virtue of the issues involved in removing a marked form from a literary work and replacing it with a more habitual option.

In the ST, the narrator is clearly involved in his story, the events are still relevant and present to him, and he re-lives them as he recounts them. Readers are invited to identify with the narrator and to participate in whatever feelings of fear and astonishment he was experiencing at the time. Deictic projection (“these frightful sounds”) actualises the past, making it more vivid and real. The translation, on the other hand, opts for “that frightful wailing”, which signals entities which are distant in time or space; the distal deictic accords with the past tense of the narrative passage, and as such is a neutral option. The Romanian text also uses past tense in this passage but flouts the expectation of a distal to agree with it (Grice’s maxim of manner), thus giving rise to an implicature (i.e. closeness, involvement). The reader of the target text, however, is reminded that events took place a long time before and in a very remote place; moreover, if the character-narrator himself appears not to show too much involvement, why would anybody else (a listener, or reader) need to?

One single occurrence does not on its own support a claim that distancing is an important aspect of translations from Romanian literature into English, but other translational shifts in the same story (and indeed elsewhere in the corpus) reinforce the trend. As the judge concludes his story of hunting, magic and the wolves, he pays a debt of gratitude to the man who saved his life, by acknowledging that primitive magic was what kept him alive in a situation when nothing else could.

(2)

ST: Fără această magie, am fi fost pierduți. (Voiculescu 1998: 301)

Gloss: *Without this magic we should have been lost.*

TT: Without that magic force we should have been lost. (Voiculescu 1986: 186)

The translation presents a character-narrator who is now more detached from the events he is recounting; the magic which saved him is “that magic”, a long time ago in the past. Less emotion and involvement are present, and the undertones may be slightly apologetic, as though he were making it clear to his rather intellectual audience that he had no involvement in the incantation, and will not be accused of superstition; he is merely a neutral narrator of things as they happened.

Making a confident statement about the reasons or intentions (if any of the latter are involved) behind the selections made in the target text or, for that matter, the source text demonstrative is not possible because, as suggested by Mason (2000: 17), we do not have direct access to the translator’s mind at the time of translating and even if we did, non-deliberate behaviour may also be involved. What analysis *can* do is to investigate what happens in the translations, and explore *potential* reasons for translator behaviour. In example (2), using the un-marked anaphoric ‘that’ when referring to past events – as opposed to the ST *aceasta* (this) - may be part of an endeavour for objectivity, detachment, and neutral stance (perhaps brought about by the passage of time), but they may also be evidence of a deliberate or non-deliberate normalising tendency on the part of the translator. Literary fiction is a genre which encourages creative use of language and the ST use of a proximal to refer to something long past is one such instance of creative use; the translator has in this case an option between ‘textual creativity’ (as found in the original) and ‘textual conventionality’ (Vanderauwera 1985), and chooses the latter. This is evidence of normalisation in translating (Baker 1993; Toury 1995).

Glover (2000), in her study of deixis in negotiation talk, hypothesises that proximally marked deictics such as ‘this’ or ‘here’ reflect a ‘negotiable orientation’ in that “the object of reference is recognized as a problematic or unresolved issue” (Glover 2000: 918). Distals (‘those’, ‘there’), on the other hand, reflect a ‘received orientation’ to the issue which is addressed, in that “the object of reference is encoded as an established context, even though it may still be a disputed one” (Glover 2000: 918). According to this dichotomy, it is possible that the ST proximal ‘*această*’ which appears almost at the



end of the narrative may be there to signal that its referent (*'magie'*) is the unresolved issue in the story, something that still awaits discussion and a conclusive ending (or perhaps that it will be left open-ended for the readers to ponder on), while the target text distal does not imply so strongly that there is anything more to be resolved about the matter, and that it can, as it were, be taken for granted and made part of the background context.

It is also possible that the translator is responding or accommodating here to what she perceives as the probable beliefs, expectations and reactions of the future readership. It is important to remember that the original writer was addressing another audience, which was expected to react in a different way from the readership of the translated text. If the translator perceived her audience as more rationalistic and less inclined to believe in magic, or to be less sympathetic to a story of magic, she may well have tended to dissociate herself from the story and to claim in-group membership with her readers rather than with the ST writer, seeking their approval. As May (1994: 70) claims, translators "seem to take upon themselves responsibility for making the narrator sound rational [...]" to readers.

Some such interventions in the text may occur because translators are frequently perceived as inherently associated with the text they translate (ideas, emotions, opinions expressed), although in actual fact these ideas, opinions and emotions belong to the original writer; it may on occasion feel face-threatening for the translator to be perceived as holding them. If translators wish to dissociate themselves from anything that is expressed in the literary work, they can only do this via a translator's preface, a footnote, or, perhaps, by signalling it in the text. If the latter is the case, the dissociation may be an unconscious, psychological orientation, rather than a deliberate act. In Voiculescu's prose, the fantastic is accepted by the modern character-narrator as real and natural. It does not lead to a state of perplexity and there is no question mark associated with it; rather, it is a preliminary condition for understanding the universe (Sorescu 1998: 37). The translator, however, appears to adopt a different perspective – one of her own or, perhaps, the more politically correct stance expected by the Communist censors (the 'overhearer' group). Example (2) is one of several such shifts in this translation by which the translator distances herself from the magical beliefs of the original author, thus subtly changing the story itself. Although accurate in terms of relaying content and atmosphere, on a pragmatic level the translation does not produce

the same effect as the ST. Voiculescu wrote a story which seeks to validate the fantastic and the magical and to express his staunch belief that the unseen miraculous world is the basis of our life; for him, the story has a spiritual message first and foremost, and its literary value is an added benefit (and, perhaps, a useful vehicle to disseminate ideas in a hostile environment which did not accept religion but still allowed some literature). The translation, on the other hand, reads as a beautiful story - which belongs to the literary genre of the fantastic - but is merely a story (and only as such would it have been published in Communist Romania).

Barely noticeable signs in the translation (such as the use of a distancing ‘that’) have a cumulative effect and show that the perspective is subtly shifted, deliberately or non-deliberately. In what follows, we briefly consider some of the evidence which points to the fact that shifts are not obligatory (from a grammatical or convention-related point of view), and that the translator had other alternatives. In order to do this, we look at an instance (in the same translation as 1 and 2) where a proximal demonstrative is not shifted in the translation. In fact, there are many instances of non-shifting in the corpus, and they help establish that a range of viable alternatives is available for translators; this is crucial for our analysis because, once it is clear that selection is involved, then many occurrences become significant by virtue of other alternatives that might have occurred instead (Beaugrande and Dressler 1981: 35).

### (3)

ST: [...] lupii, mereu cu gîtlejurile în sus, își schimbau între ei locurile, se tîrau pe burtă, săreau în picioare, se porneau pe bocet, clănțăneau din dinți, dănțuind parcă așa cum le buciuma stăpînul. Cît a ținut reprezentația aceasta ca de circ n-aș putea spune. Eram mai mult decît zăpăcit și amețit” (Voiculescu 1998: 300)

Gloss: “*the wolves, always with their gullets turned upwards, were constantly changing places, were crawling on their bellies, started to howl, were chattering their teeth dancing, it seemed, on the tune the master sang them. How long this circus-like performance lasted I could not say. I was more than dizzy and bewildered.*”

TT: [...] the wolves, gullets turned upwards, kept changing places, creeping upon their bellies, springing to their feet; then started wailing, chattering their teeth as if dancing to the master’s tune. I couldn’t tell how long this circus-like show lasted. I was more than dizzy and bewildered. (Voiculescu 1986: 183)



The demonstrative adjective ‘*aceasta*’ (this) is used for anaphoric reference here, much in the same way it was used in examples (1) and (2). According to Toolan (1990: 183), the unmarked demonstrative to use in English for this situation is ‘that’, which would also be the unmarked solution in view of the fact that the narrative passage is in the past and that deictics usually accord with the temporal framework being used. It is, however, possible that ‘this’ is preferred here because it refers to immediately preceding co-text. Both *aceasta* (this) and *aceea* (that) would have been acceptable in Romanian, although it is suspected that the unmarked form would be the distal. Since the same translator shifts towards a distal ‘that’ in anaphoric position (examples 1 and 2) but uses an anaphoric ‘this’ on another occasion (example 3), we can conclude that translational solutions are less straightforward than the preferred/dispreferred issue might suggest. Pragmatic considerations such as motivation, purpose, or intended effect might have a substantial part to play in selecting between alternatives.

The fact that the translator opts for a proximal in (3) does not alter in any way our distancing hypothesis, because what we seek to find evidence of is not that there are only distals in the translation and no proximals (which would be very unusual), but that there are *more* distals in the translations compared to the original texts (this has already been ascertained by the quantitative analysis), and that many of them are there for reasons other than obligatory use.

Our next example is from a novel entitled *The Stranger*, which is from the R sub-corpus, and we look at an instance of a proximal demonstrative omitted from the translation. The novel is narrated in the third person and adopts an omniscient narratorial point of view. It is rather long and has a variety of sub-plots to the extent that it is difficult to summarise what it really is about, if not, broadly speaking, the emergence of the Romanian Communist Party. The chapter from which (4) is taken presents a long awaited encounter between father and son. The man has been away, fighting in Russia, where he embraced the Communist ideal.

**(4)**

ST: - Mihai! Tu ești, măi! Mihai! ... Gheorghe! Scoală, Gheorghe! A venit taică-tău.

Gheorghe s-a apropiat cu sfială de omul acesta cu fața arsă de soare și de vânturi, care l-a strâns la piept din toate puterile, turtindu-i obrazul pe mantaua aspră, țepoasă, mirosind a tutun și a sudoare. (Popovici 1989: 208)

Gloss: 'Mihai! Is it you, Mihai? ... Gheorghe! Wake up, Gheorghe! Your father's come.'

*Gheorghe shyly approached this man with his sunburnt and weather-beaten face, who hugged him with all his might, crushing his face against the rugged, prickly coat which smelt of tobacco and sweat.*

TT: 'Mihai! Is that you, Mihai? ... Gheorghe! Get up, Gheorghe! Your father's come.'

Gheorghe came shyly nearer, and the man with the sunburnt and weather-beaten face hugged him with all his might, crushing his face against the rugged coat which smelt of tobacco and sweat. (Popovici 1957: 256)

Toolan (1990: 189) mentions in his analysis of deixis in one of Faulkner's novels that there are instances in English when not only the use of a proximal demonstrative but also that of a distal would be marked, such as in "It stood ... with cold yellow eyes and a tremendous chest and over all *that* strange color like a blue gun-barrel." (Faulkner, in Toolan 1990: 189). In this passage, Toolan argues, 'that' is a marked form ('this' would also have been marked), and the unmarked would have been either the definite ('the') or the indefinite article (a, an). This is consistent with Levinson's (2000: 94) hierarchy of givenness according to which, in English, 'this' is 'activated' and marked for proximity, and has more precise criteria of application than 'that'. In turn, 'that' has more precise criteria of application than 'the', 'a', and 'an'. It is true that in a conventional narrative passage in English one usually encounters 'that' as an unmarked form implying that the narrator is removed from, or simply uninvolved in the phenomena thus denoted but, when there are reasons to believe that the narrator is involved, the choice of 'that' as opposed to, for instance, 'the', generates an implicature and "endows the referent designated by the noun phrase with qualities of uniqueness" (Toolan 1990: 189).

The Romanian text in (4) uses a proximal demonstrative adjective, '*acesta*' (this), as a link between events and the reader, creating a shared space (or 'deictic field', Richardson 1998: 131) in which readers are invited to be present at the encounter. It enhances the emotional undertone of the events and appeals to the readers' willingness to take part. In the Romanian original, this proximal is an entirely optional solution and a definite or an indefinite article, as well as a distal demonstrative could have been used instead, to different effect. The translation could have opted for the creative use of a proximal to signal involvement, or perhaps for a distal, 'that man' (as in other instances in the corpus), and in this case the emphasis would have been on the alienation between father and son, and how they were like strangers to each other. By deleting the deictic projection and opting for the unmarked solution of using the definite article instead of a



demonstrative, the translation keeps to an objective or neutral reporting of the events and, as such, claims lesser involvement. Requiring less reader participation (of an emotional type) leads to a reduction in the intensity of the face-threatening act which would have taken place if readers were presented with a more emotionally outspoken text which would have challenged their negative face. The shift may therefore also be accounted for in terms of the level of imposition the translator assumes readers would be willing to accept, i.e. the extent to which they would want to be positioned as involved participants in the story.

#### **5.1.1.2 Verbal tenses and the distancing trend**

The Romanian source texts in the corpus occasionally employ present tense in order to narrate past events, as in example (5) below. The historical present exists in English too but, according to Leech (1989: 387), is not frequently encountered. It can however be used in “telling stories”, to make a story “more exciting and like real life” (Leech 1989: 387). In Romance languages on the other hand there appears to be a greater facility for employing it (see, for example, Richardson 1998: 133 for a discussion of the historical present in Spanish and English). It appears that yet again we are dealing with the issue of preferred versus dispreferred solutions, with an English text being technically able to use the historical present but less likely to, compared to a Romance language such as Romanian.

Can this convention-related factor account for all instances (and there are many in the corpus) where a source text historical present is shifted to a past tense in the translation? And how can we account for cases where shifts occur in one place and not in another? Pragmatic considerations have to be added to convention-related aspects, otherwise analysis would merely be about checking whether a translator did or did not employ the most frequently encountered solution, overlooking the host of alternatives which are usually available. As Richardson (1998: 135) points out, the choices made in a translation may represent general trends but not “absolute rules”, because “more than one option is often available in each of the languages” involved. The translator may have to choose between following a pattern which is typical of Romanian (liberal use of historical present, in this case), or re-arranging the spatio-temporal perspective in such a way as to match a pattern typical of English.

On a pragmatic level, the historical present can be (deliberately or non-deliberately) used to create a specific effect: to cause a situation which belongs to the past in terms of real time to be brought into the present perspective of the speaker and to invite the audience to regard it as simultaneous with the conversational encounter. Past events seem “more vivid and more real by actualising them” (Richardson 1998: 133). It must be remembered that we are dealing here with literary works, where creativity and innovative language use are part of the genre description; literature can do away with traditional narrative or re-shape it, and revel in stylistic and structural artifice. Translations have, however, been reported to be more guarded and to have an overall preference for forms which are more secure and well-established at the target end (the dilemma between ‘textual creativity’ and ‘textual conventionality’), as Vanderauwera (1985) found in her study of Dutch novels translated into English. A risk-taking translator, however, may decide to go for what Venuti (1995) has called a ‘foreignising strategy’, which, basically, involves a translation not having to go to all lengths to conform to the conventions of the target language or culture. This would be part of a democratic translational agenda, by which difference is recognised rather than ‘domesticated’ (Venuti’s term).

In *Among the Wolves* (see examples 1, 2 and 3), when the elderly judge recounts his close encounter with the miraculous and with death, he shifts the narration to a ‘here and now’ pattern; one of the ways in which this is done is via proximal demonstratives, as we have already seen in previous examples, but also by using the historical present:

**(5)**

ST: Din destăinuire în destăinuire, Luparul ajunse să-mi făgăduiască să mă ia cu el într-o noapte potrivită și să-mi arate meșteșugul lui la lupi.

A ales noaptea Sfântului Andrei, când lupii își primesc pentru tot anul merticul lor de prăzi. Fiecăruia i se sortește anume om, anume femeie ori copil, pe care are voie să-l mănînce. Atît! De vite și de alte prăzi nu li se ține socoteală. Au îngăduință oricîte, numai în ce privește omul, lupul trebuie să se mulțumească cu ceea ce i s-a dat tain. (Voiculescu 1998: 298)

Gloss: *From confession to confession, the Wolfer finally promised to take me with him one appropriate night and to show me his skill with the wolves.*

*He chose St. Andrew’s Night, when the wolves receive for the entire year their portion of booty. To each of them, a certain man, a certain woman or child are granted, which he is allowed to eat. Nothing more! As for cattle and other prey, they are not given a limit. They are*



*allowed as many as they want, only as far as man is concerned, the wolf has to stick to the portion it has been allotted”*

TT: Confession after confession. The wolfer went as far as to promise me to take me one suitable night to show me his skill with the wolves.

He chose the night before St. Andrew’s day when the wolves were to get their yearly portion of booty. Each of them was granted one special man, woman or child that they were allowed to eat. No more! There was no reckoning for cattle and other booty. As regards man alone the wolf had to be content with his appointed portion. (Voiculescu 1986: 180)

The use of the present tense implying habitual action (i.e. each year on St. Andrew’s night the forest hosts strange gatherings) would be normal in English too. The Romanian text conveys a sense of vividness and involvement almost as though the reader were sitting with the narrator and listening to the story unfold. This ‘here and now’ pattern is weakened in the translation; past tense is used, implying dissociation from the account, or, according to Furrow (1988: 374), implying that the action does not take place within the context which speaker and listener share (‘now’) but, rather, outside the context of speech (‘then’). More precisely, our translation in (5) appears to convey the following message: “this is the accurate content of what the narrator says and I (the translator) report it, but do not share his involvement. I do not know whether wolves receive their booty on St. Andrew’s Eve (and they probably don’t), but I tell you what the narrator says. This is just a story”. Perhaps the fact that this particular passage can be construed as a semi-parenthetical (though important) addition to the main plot, and that it describes a pagan belief, contributes to the translator’s distancing. The original text, on the other hand, is all about “this is the story, I (the character-narrator) lived it a long time ago and re-live it now by telling it to you and by your listening to it. Wolves *do* receive their booty on St. Andrew’s Eve, or at least I have no proof they don’t. What I experienced makes me believe in magic, and I take responsibility for being inclined to believe in pagan superstitions”.

In conclusion, by preferring past tense to historical present the connotation of habitual action is removed from the translated text, and the events of St. Andrew’s Eve are presented as disconnected from the present and lacking any possibility of revival or continuation. They are construed as an inaccessible, not to be repeated occurrence.

### 5.1.1.3 Adverbs in the corpus

A case of a proximal adverb translated as distal, with subsequent loss in vividness and invitation to engage with the story, is presented below in (6a). Example (6b) shows the case of a proximal adverb which is omitted from the translation. Shifts within the same narrative reinforce each other, and increase our confidence in stating that we are not dealing here with isolated examples but rather with an obvious trend.

#### (6)

a) ST: [...] am început eu a-i spune de-ale noastre, dintre multele pe care le îndurăm.... Și zic eu: Dreptatea noastră cea veche, domnule, de mult îi moartă, iar Vodă nimica nu știe...

A zîmbit atuncea negustorul. Pe urmă ne-am luat noi ș-am intrat în sat... Era sară acuma. (Sadoveanu 1955: 490)

Gloss: [...] *I started telling him about our woes, some of the many we have to bear... And I say: Our old rights, sir, have long been dead, and the Prince knows nothing.*

*The merchant smiled at this. Then we entered the village. It was evening by now.*

TT: [...] I began telling him about our troubles, some of the lot we had to bear. And I said ‘Our rights of old, sir, they’ve long been dead and the Prince knows nothing.’

The merchant smiled at this. Then we entered the village. It was dark by then.

(Sadoveanu 1983: 125)

b) ST: Moș Grigore de mult își isprăvise istorisirea... Stam acuma sub lăicere, [...] și nu puteam dormi [...]. (Sadoveanu 1955: 492)

Gloss: *Mos Grigore had long finished his tale... I was now lying under the bedding [...] and could not sleep [...].*

TT: Old man Grigore had long finished his tale. I was lying under the woven peasant carpets [...] and could not sleep [...]. (Sadoveanu 1983: 126)

A teacher who travels in the Moldavian mountains to visit his parents in a remote village finds overnight accommodation in the house of a peasant, becomes acquainted with his family and listens to tales of old about Prince Cuza. This prince had been in the habit of travelling disguised as a merchant, so that he could see for himself what the real state of affairs was, rather than relying on reports from his aides; in particular, he was very fond of the peasant population of the country. Other Romanian writers (including Ion Creangă) have also written about Cuza, under whose rule Moldavia and Wallachia united to become one country, although the prince himself was eventually



forced to abdicate and died in exile. The English translation of the story appeared in the volume *History and Legend in Romanian Short Stories and Tales* (1983) translated by Ana Cartianu and published by Minerva Publishing House, Bucharest (volume included in the R sub-corpus). It is a first person narrative and contains a story-within-a-story, which is also a first person narrative.

Examples (6a) and (6b) might, arguably, be cases of normalisation in translation. The ST sequence of past tense verb/proximal deictic shifts to past tense verb/distal deictic in (6a). The deictic '*acuma*' (now, by now) expresses proximal reference and claims that the narrated events take place at the time at which the speaker is speaking, a time region which is proximal or immediate to the time of the utterance (Hanks 1989: 104) or, at least, it acts as an invitation to imagine this is so - perhaps on a psychological level. Clearly, '*acuma*' is an instance of deictic projection, replaced in the translation by a distal ('by then') which indicates that events took place prior to the time of speaking. The ST proximal adverb '*acuma*' is not the only disruption in the past/distant framework of the original text: the present tense verb '*zic*' (I say) also interferes with the past tense framework (I started, smiled, entered, was). This lack of sequence of tenses would be very marked in English and the past tense ('I said') is therefore used in the translation.

As for (6b), the absence of a deictic in the translation leaves the past tense verb - and indeed the entire network of verbs - to carry out alone the task of temporal orientation. The distancing effect here is not generated by the addition of a distal, but by ensuring that no proximal is present to disrupt the past tense framework of the passage. Eliminating an indexical also has, according to Furrow (1988), the effect of diminishing the interactive nature of the communication because, "the more deictics in a narrative passage, the stronger the link with the reader, who is treated as a listener, as someone who can be made to picture and respond to the same events as the narrator has so vividly seen and, in the act of narration, is seeing again" (Furrow 1988: 375).

Projection of the story into spatial/temporal/psychological past is done, in a number of cases, via addition of distal adverbs, as seen in the following examples from the short story *Fefelega*:

(7)

a) ST: Și când i-a murit copila aceasta din urmă, Fefelega n-a spus o zi nimănui [...]. N-a plîns, nu s-a bocit, nu și-a sărutat copila, ci a stat așa, cu capul în palmele aspre [...]  
(Agârbiceanu 1979: 289)

Gloss: *And when this last girl of hers died, Fefelega did not tell anybody for a whole day [...]. She did not cry, did not lament, did not kiss her child, but sat down, with her head in her rough palms.*

TT: When her last girl died, Fefelega told nobody for a whole day [...]. She neither wept nor mourned; she did not kiss her child; she just sat there with her head buried in her horny palms [...]. (Agârbiceanu 1971: 156)

b) ST: Acum, când Păunița sta cu luminița de ceară la căpătîi, simțea Fefelega că toată viața pentru copiii aceștia s-a chinuit. (Agârbiceanu 1979: 290)

Gloss: *Now, when Păunița was lying with the little wax candle at her bedside, Fefelega felt that it was for these children that she had toiled all her life.*

TT: Now, with Păunița lying there with a wax candle flickering at her bedside, Fefelega realized that it was for the sake of her children that she had endured it all. (Agârbiceanu 1971: 157)

c) ST: Sara s-a dus la clopotar, la preot, ‘să se mai ostenească o dată și pentru cel din urmă suflet din casa ei’. (Agârbiceanu 1979: 290)

Gloss: *In the evening she went to the person who tolled the bells, to the priest, ‘to take the trouble for the last soul in her household.*

TT: That evening she went to the priest, to ‘do the last thing for the last soul in her household’. (Agârbiceanu 1971: 158)

The addition of ‘there’ in (7a) and (7b), and ‘that evening’ in (7c) is evidence of spatial distancing with psychological undertones, acting as a reminder that the events are taking place in a remote ‘there’ which readers do not share. In view of the fact that the narrative is anyway in the past, the effect of the added distals may simply be one of reinforcing neutral alignment with the events. Also, ‘that evening’ (in 7c) acts as a marked form employed instead of the ST ‘in the evening’ in order to single the moment out and emphasise its significance, rather than necessarily conveying distance (Toolan 1990: 189 discusses a similar case taken from Faulkner’s prose). The persistent use of distals, however, cannot be so easily dismissed. Fowler (1996: 120) notes that psychological distance is created by the use of distals in a dramatic monologue by



Robert Browning and concludes that “consistent distancing deictics seem usually to have an alienating effect”. Examples (7a) and (7b) will be discussed, in a larger co-text, in example 14 (a and b); the dynamic interaction between proximal and distal deictics is explained there.

We now turn to an instance (example 8) in which shifting does not take place: the proximal adverbial phrase ‘*prin părțile acestea*’ (in these parts) is rendered as such. It is interesting to compare this example with (14), where in a similar past narrative context the ST proximal adverb ‘*aici*’ (here) is translated as ‘there’.

The excerpt below is from chapter VII of the novel *Răscoala (The Uprising)* by Liviu Rebreanu. Originally published in Romanian in 1932, *Răscoala* is an epic of the events which led to the 1907 peasant uprising in Romania. It recreates the lives of characters from various walks of life as they are caught up in the events, especially the Iuga family and Titu Herdelea, a young poet from Transylvania. The dust jacket of the English translation advertises the book as “comparable to the great Russian novels of Tolstoy and Dostoyevsky” and “one of the major European epic novels of the twentieth century”. *The Uprising* and two other novels by the same author are in the B sub-corpus (all published by Peter Owen between 1964 and 1967), while a fourth novel (*Adam și Eva*) is in the R sub-corpus.

Chapter VII, ‘The Spark’, describes the increasing unrest which spreads throughout the country, and Grigore Iuga travels by train to his family estate Amara in order to be by his father’s side in case the uprising starts.

**(8)**

ST: In toate gările, în schimb, vâlmășag de oameni speriați, care-și povesteau grozăvii despre țăranii răzvrățiți și mai ales despre intențiile lor. Toți recunoșteau pîna la urmă că la ei e liniște [...]. Grigore știa bine că prin părțile acestea nu s-a întîmplat încă nimica și de aceea minciunile îl supărau [...]. (Rebreanu vol II 1960: 3)

Gloss: *In all the stations, however, there was a pall-mall of frightened people, telling each other terrible things about the peasants and especially about their intentions. All of them admitted, eventually, that in their parts it was quiet [...]. Grigore knew well that in these parts nothing had happened yet, and that is why the lies were upsetting him.*

TT: [...] but there had been frightened crowds at every station, repeating tales of horrors already perpetrated by the peasants, and even more concerned about what they might do in the future. Everybody, however, had admitted in the end that in their own region things were quiet [...]. Grigore knew that nothing had yet happened in these parts, and was annoyed with all these exaggerations [...]. (Rebreanu 1964: 199)

Not only does the translation preserve the proximal adverbial '*prin părțile acestea*' (in these parts), but it actually omits the ST distal '*de aceea*' (that is why), which belongs to the category of discourse deixis, and instead adds a proximal demonstrative: "all these exaggerations". It is possible that the extra demonstrative has a compensatory function for the replacement of 'lies' with 'exaggerations', but this does not account for the selection of a proximal rather than a distal, as would have been the expected form in English to match the verbal tense (Toolan 1990: 178). What may seem confusing is that the source text uses a proximal and a distal within the same sentence. However, switching from proximal to distal reference (and sometimes with respect to the same referent!) happens all the time in communication, as noted by Glover (2000: 918), and indexicals are a dynamic area in constant flux (Hanks 1989: 108). According to Glover (2000), different orientations coincide with the participants' view of 'problematic issues'/'resolved issues', which changes throughout the communication.

Although it is a case of deictic projection and, as such, is conventional within fictional narrative, 'in these parts' is a dispreferred alternative by virtue of the fact that it appears within a past tense verb narrative. By disrupting the framework, it generates an implicature, e.g. about involvement in the story, and the significance of the events. It intensifies the vividness of the narration by claiming the audience's willingness to enter the literary make-believe convention by which they would accept, while they read, that the places mentioned in the narrative are 'these places' and close to them, and that they should participate in Grigore's upset about the lies he hears ('these exaggerations'). This is true, of course, only if we agree that proximal deictics generally signal involvement, while distals convey implicit detachment or, at least, neutral alignment.

Since it employs forms which are considered marked, and which are normalised elsewhere in the corpus, example (8) testifies to the non-obligatoriness which is frequently involved in the translation of deictics, and to the fact that more than one option is often available and that the translator selects between alternatives.



#### 5.1.1.4 Person deixis

Using person deixis to encode or project participant-roles such as narrator or readers, via personal reference and/or address (e.g. *I, you, we, our, your*) is an overt sign that a dialogue is taking place between author/translator and audience (for an account of person deixis see 3.6.2.1). Explicit reference in the text to the participants (i.e. person deixis) affects the level of imposition upon readers, as well as the degree to which they are positioned as in-group members and authorial accomplices. In order to win over their readers, communicators may reduce the distance between themselves and the audience, and (pretend to) share power with them, thus empowering them to become participants (Hatim 1997: 147). This is, of course, a positive politeness strategy which necessarily rests on assumptions about the level of imposition a particular audience is willing to tolerate, which may differ from one culture to another.

Instances of person deixis designating the audience, or the author, occur in some source texts in the corpus but not in others, and where they do occur their number is low (one or two instances, usually); a small number of texts, however, display a higher frequency of occurrence (especially first person narratives, such as the one from which 9 is taken). Counting shifts would not have been able to reliably point to trends in translation, and qualitative analysis has been preferred. The pattern in person deixis shifts is not as clear as that in demonstratives, adverbs, and verb tenses, but it appears that there is a slight tendency towards eliminating (rather than adding) instances of personal reference or address in translating.

We start with an example reproduced from the opening paragraph of the short story *Remember* (title in English in the original). The story was written by Mateiu I. Caragiale and belongs to the Decadent literary trend. It was first published in Romanian in 1921 and takes pride in being a story about “*un fait-divers atroce*”, as it states from the very beginning. An English translation was published in 1971 by Oxford University Press, in the volume *Romanian Short Stories* (which is included in the M sub-corpus), and a second translation appeared in 1981 in *Romanian Fantastic Tales* (which is part of the R sub-corpus) published by the Minerva Publishing House, Bucharest. Both translators are Romanian. We are interested in the two translations not only because of

their capacity to supply evidence of different translation strategies, but also as evidence of optionality in the translation of indexicals.

Example (9) reproduces the first sentence of the short story. Only the first two (out of seven) sections of the story were sampled for analysis, but even from this limited sample the overtly interpersonal nature of the ST is obvious, as the text abounds in pronominal reference, exclamations and rhetorical questions (for exclamations and questions, see 6.5). In fact, *Remember* is a first person narrative, and is an exception to the usually low number of occurrences of person deixis in the corpus.

(9)

ST: Sunt vise ce parcă le-am trăit cîndva și undeva, precum sunt lucruri viețuite despre cari ne întrabăm dacă n-au fost vis. (Caragiale 1990: 257)

Gloss: *There are dreams which we seem to have lived some time and some place, just as there are facts of life which make us wonder whether they were not dream.*

TT1: There are such dreams as seem to have been real some time, some place, just as there are facts of life that might have been dreams. (Caragiale 1981: 165)

TT2: There are dreams which we seem to have actually experienced, somewhere, at some time, just as there are experiences which we seem only to have dreamt about. (Caragiale 1971: 191)

The different handling of personal reference in TT1 compared to TT2 is salient: one translation removes it, and the other preserves it. The question which arises is, what can this tell us about audience design in the two translations?

First of all, the ‘we’ of a narrative text expresses more than just first person, it “connotes the positive traits that we associate with ‘people like us’” (Mey 2000: 47). There is an *exclusive* ‘we’ (speaker plus others, excluding addressee) and an *inclusive* ‘we’ (speaker, perhaps others, and addressee included); both these uses are strong instruments for projecting assumptions of out-group or in-group membership and, as such, of psychological distancing or closeness. There is no reason to believe that the ‘we’ in ST and TT2 (9) is exclusive of the addressee (i.e. the reader) and, in fact, the use of the present tense indicates that the sentence is meant as a generalisation which readers are invited to subscribe to. The fact that this happens at the very start of the narrative is extremely significant, as it has the function of a gateway into the fictional world. By accepting (however provisionally) the writer’s assumption and by reading



on, readers at once become authorial accomplices (Mey 2000: 346) who will now share complicity in whatever opinions are expressed (the alternative would be an extremely uncooperative/undermining reading which would go against genre conventions). It then appears that the inclusive ‘we’ repeated twice at the start of the story is not accidentally there. Rather, it is a risk-taking (it may threaten readers’ negative face) act of provocation, a contract which readers are asked to sign by accepting the interaction as outlined by the writer. On the other hand, if the authorial assumption is that readers will have to accept the contract, then we can talk about an act of power taking place here.

In TT1 (9) first person pronominal reference is not used. However, readers are still faced with an opening sentence which conveys a strong authorial assumption about life as dream versus dream as life which is presented as a statement – guiding/pointing to the preferred gateway into the story. Provocation, risk taking and manipulation of the subtle interpersonal balance of the text are still involved, but in a more covert way; the difference between TT1 and TT2 is, therefore, one of degree. In any case, the deletion of the person deictic ‘we’ in TT1 reinforces the distancing pattern in this translation, while the use of the inclusive ‘we’ in TT2 weakens the distancing brought about by shifts in demonstratives, adverbs and verb tenses.

More evidence on shifts involving person deixis (this time, second person reference) is provided by example (10) from the novel *Moromeții*, by Marin Preda.

**(10)**

ST: Niculaie arăta atât de întristat încât ți se făcea rău uitându-te la el. (Preda 1961: 322)

Gloss: *Niculaie looked so sad that it broke your heart to look at him.*

TT: Niculaie looked so sad that it broke one’s heart to watch him. (Preda 1957: 433)

The narrative in (10) positions the readers, in a deictic way, as present at the scene and as witnesses to Niculaie’s sorrow. Moreover, they are told what to feel (it broke your heart). In the translation this is expressed in a more indirect (off-record) way: it would break anybody’s heart to see a little boy cry like that and hence it would also break the reader’s heart. Besides, “it broke one’s heart” can also be interpreted as ‘it broke the heart of all the characters in the novel, who were present at the scene’. By going ‘off record’ the translation leaves the reader to choose her own reading, and be involved to a degree of her choice; this is obviously not the case in the original, where the reader is

pinpointed ('you'). Of course, the use of 'you' in the ST does have an impersonal dimension to it, but this is weaker than that involved in the TT use of 'one'.

### 5.1.1.5 Complex examples involving several deictic parameters

In what follows, analysis will focus on the interaction between various deictic parameters. As Gheorghe Jurca (see example 4, from *The Stranger*) grows up, he joins the Communist party and carries out a number of tasks involving a progressively higher risk factor. The excerpt below refers to one such operation:

(11)

ST: Tot atunci o cunoscu pe Iulia Vlad, instructoarea Comitetului județean [...]. Ținu legătura cu ea aproape doua luni: in perioada aceea avu sarcina să scoată din închisoare articolele unui tovarăș, adus aici de la Aiud. Intr-o seară, în timp ce le citeau împreună, Jurca se miră de cât de multe știe acest om, despre care aflase că e închis de noua ani aproape. (Popovici 1989: 210)

Gloss: *It was then he met Iulia Vlad, the secretary of the district Committee [...]. He kept in touch with her for almost two months: during that time he was given the task to smuggle out of prison the articles of a comrade who had been brought here from Aiud. One evening, while they were reading them together, Jurca expressed his wonder at how many things this man knew, about whom he had heard he had been in prison for nine years almost.*

TT: It was then he met Iulia Vlad, the secretary of the district committee [...]. He kept in touch with her for nearly two months; during that time he was set the task of smuggling out of prison the writings of a comrade who had been brought there from Aiud. One evening, while they were reading them together, Jurca marvelled how many things that man knew, who, he had heard, had been in prison for nearly nine years. (Popovici 1957: 258)

While the shift from a proximal demonstrative in 'acest om' (this man) to 'that man' alone would convey a lesser involvement, the effect is enhanced by a [+ distance] shift concerning an adverb in the previous sentence. "*Articolele unui tovarăș, adus aici de la Aiud*" (the writings of a comrade brought here from Aiud) almost graphically positions the narrator in the same location where the events take place, but the translation ("brought there from Aiud") creates distancing or, at least, neutral alignment (For an example of a translation actually adding emphasis to proximal adverbs, see example 14 in this section).



The choice between proximal and distal deixis has been shown by some (e.g. Glover 2000) to have less to do with spatial (or temporal) orientation than with the speaker's attitudinal orientation towards the referent which is invoked and, consequently, with 'psychological perspective' (Glover 2000: 925). According to May (1994: 66), "when used in third-person narration, such expressions as 'now', 'here', 'many years ago' pinpoint the narrator as present at the scene. They also suggest that the audience is physically accessible to the narrator and that it has a definite viewpoint. The effect is "to imitate the oral speech situation, in which a gesture is enough to establish a place and time" (May 1994: 66). Shifts such as 'this man' to 'that man', 'brought here' to 'brought there' or, as seen in example (4), from 'this man' to 'the man', all contribute to the weakening (or neutralising, to use May's term) of the narrative presence, with consequences for the interaction between readers and the narrator, readers and the text. This is in line with Fowler's (1996: 120) observation that consistent distancing deictics usually have an alienating effect. There are many other such instances of shifting in *The Stranger*, such as in (12) below.

**(12)**

ST: Holtzmann dormea, îi auzea respirația liniștită. Se împlinesc trei ani de când se ascund așa, de când pas cu pas trebuie calculat, ca un mers pe sîrmă [...]. La ora asta, într-un colț întunecat al depoului, ei își fac planul aruncării în aer a unui transport de muniții; la ora asta, la depozitul militar, Bota cercetează scriptele, să vadă ce arme s-ar putea sustrage; la ora asta, undeva, noul Comitet Central... (Popescu 1989: 205)

Gloss: *Holtzmann was sleeping, he could hear his quiet breathing. Three years have passed since they have been hiding thus, since every step has had to be planned like walking on a tight rope [...]. At this hour, in a dark corner of the warehouse, they are planning to blow up an ammunition transport; at this hour, at the military warehouse, Bota examines the papers, to see what arms could be purloined; at this hour, somewhere, the new Central Committee...*

TT: Holtzmann was sleeping. He could hear his quiet breathing. It was three years since they had been hiding like this, since every step had to be weighed, like walking on a tight rope [...]. At this hour, in a dark corner of the warehouse, they were planning to blow up an ammunition transport; at this hour, at the army stores, Bota was checking the papers, to see what arms could be abstracted; at this hour, somewhere, the Central Committee ... (Popescu 1957: 252)

The passage above is in free indirect discourse (F.I.D.) and the narrator enters, as it were, the mind of the character Gheorghe Jurca and observes his train of thought. The moment when this happens is at the start of sentence two. F.I.D. is perhaps one of the

closest viewpoints a narrator can adopt vis-à-vis a character, only surpassed by first person narrative, or by the stream of consciousness. According to Simpson (1993: 23), this mode of presentation is a fusion of narratorial and character voices, a kind of dual voice. Since the narrator steps into the character's shoes, he will see things as Jurca does, and the deictic centre around which all spatio-temporal aspects are arranged will coincide with the time and location of the character.

At this particular moment in the novel, Gheorghe Jurca is a mature man who has spent most of his life fighting for the Communist cause. He is tired and at times discouraged, he ponders over his life and tries to find sufficient strength to continue. Present tense is used in the source text and the passage as a whole seeks to express deictic simultaneity between character and narrator; this is further enhanced by repeating three times in the same sentence the adverbial phrase '*la ora asta*' (at this hour). Verbal tenses together with adverbs create here a 'deictic system' (Simpson's term, 1993: 18) which makes maximally close the events narrated.

The complex nature of translating is fully represented in this passage, as we notice a variety of processes at work. The target text preserves the emphasis on proximal adverbials ('at this hour', repeated three times) while shifting the verb tense to past and past perfect. And there is in the TT the addition of a proximal adverb: 'like this' (discourse deixis, operating in this case a deictic projection), which replaces the ST 'thus'. The fact that in the translation the tense is altered to its distal counterpart but the temporal deictic 'at this hour' is retained, disrupts the synchronic temporal relationship which exists in the source text, as it suggests that, while showing some involvement and closeness, the narrator is nevertheless removed from the events he recounts. Had the adverb also shifted to a distal ('at that hour', for example), the distance would have increased. Example (12) therefore provides evidence of [+ distance] shifts occurring side by side with an absence of shift (the proximal adverbial could have been shifted into a distal) and with [- distance] shifts (the addition of a proximal adverbial).

Deictic projection is conventional within the literary genre, but the degree to which it happens is variable. As can be seen in (12) (and elsewhere in the corpus), deictic projection takes place in both ST and TT, but there is more of it in source texts and, by comparison, translations display more distancing. Distancing is consequently a matter of degree rather than absolute presence or absence.



Similar complexity is encountered throughout the rest of the corpus, and can be found in the passage below, which belongs to the novel *Şatra* (*The Gypsy Tribe*, in the B sub-corpus). The novel is written by Zaharia Stancu (first published in 1968) and translated into English by Roy MacGregor-Hastie. The translator has worked on other Romanian literary works, including poetry, and is an author in his own right. *The Gypsy Tribe* was published in the UK in 1973, not long after its first publication in Romanian. This is possibly due to the fact that Zaharia Stancu was approved by the Communist regime to such an extent that his works were allowed to be extensively translated into a variety of languages (32 languages, the back cover of the present translation claims), and he was short-listed for the Nobel Prize – which he did not win. Unlike some of the writers who were favoured by the regime but whose work had not enough literary value to enable them to survive the overthrow of Communism, Zaharia Stancu's novels continue to enjoy the acclaim of literary critics and he is still considered one of the most prominent Romanian novelists of all times.

*Şatra* is about gypsies trying to survive the brutality and chaos of the Second World War. The Romanian authorities, who had allied for a while with the Germans, adopted Nazi policies towards the 'inferior races' and for the gypsy population wandering across the country this meant a policy of isolation in the barren wasteland on Romania's Eastern frontier. As Hym Basha and his tribe are forced to move further East, their life progressively deteriorates but worse than anything else is the look in the eyes of everyone they meet: a look which appears to say that they, the gypsies, are as good as dead. It is winter, but pregnant gypsy women long to eat cherries – which will only ripen in June. And Hym Basha, the master of the tribe, would like to eat apples but does not have any.

### (13)

ST: Mai era mult pîna la sosirea primăverii și era și mai mult pîna la întâile zile ale verii. Totuși muierile oacheșe și borțoase ale șatrei visau cireșe coapte, rîvneau de pe acum după cireșe coapte, le lăsa gura apă după cireșe coapte...

Him își aduse aminte că în orașul acela de lângă fluviu i se făcuse poftă de mere, voise să cumpere mere și sa mănânce măcar unul. Uitase să cumpere. I se făcu acum, în miez de iarnă și în pustietatea asta, poftă de mere. (Stancu 1999: 292)

Gloss: *There was a long time till the arrival of spring and there was an even longer time till the first days of summer. However, the pregnant dark-complexioned women of the tribe dreamt of ripe cherries, they hungered even now for ripe cherries, their mouths watered for ripe cherries...*

*Him remembered that in that town near the river he had craved apples, he had wanted to buy apples and to eat at least one. He had forgotten to buy. He felt now, in mid-winter and in this wilderness, a craving for apples.*

TT: And spring was a long time ahead, and longer still to come would be the first weeks of summer. But the pregnant women of the shatra dreamed of ripe cherries, hungered for them, their mouths watering...

Hym Basha remembered that day, in the city by the river, when he had a craving for apples, to bite deep into at least one. He had forgotten to buy those apples, and now, in the desert, in mid-winter, the craving came back. (Stancu 1973: 202)

The proximal adverb *acum* (now) is translated as such, and is an instance of deictic projection. The ST distal demonstrative ‘*acela*’ (that) is present in the translation with a modification: in the original it refers to spatial location (*orasul acela* – that town) while in the target text it refers to temporal location (that day). The narrative voice is complex and it relates to events and characters in what appears to be an interplay of closeness followed by distancing (“the dynamic nature of indexical ground”, Glover 2000: 918), but again it appears that there is more (deliberate or non-deliberate) deictic distancing in the translation because the proximal adverbial ‘*de pe acum*’ (even now) is omitted and an additional distal (‘those apples’) appears in the target text. However, the distal ‘those’ does carry some emotional involvement (compare with the potential alternative ‘the apples’, cf. Levinson’s 2000: 94 givenness hierarchy) as it singles out the apples and gives them a unique significance, while at the same time indicating how far away they are from Hym Basha in his wilderness and, perhaps, also acting as a reminder that the narrator is removed from both wilderness and Hym Basha’s apples.

Once again we see that closeness and distancing are a matter of degree, that original texts and translations use both – but that the ‘narrative presence’ (May 1994: 66) is stronger in the Romanian and so is the invitation for increased reader participation. After all, spatio-temporal reference (the linguistic co-ordinates of time and space) provides an entry point into the universe developed by the text, it allows access to the fictional world which unfolds in the story (Simpson 1993: 15) and, at the same time, by providing a ‘window’ or vantage point for readers it acts as a signalling device which



invites readers to position themselves one way rather than another. The difference between original texts and translations, then, lies in the way in which this ‘window’ is constructed.

**(14)**

a) ST: [...] la patru ani, doua luni și treisprezece zile de la cel din urmă mort, i-a adormit și fetița rămasă în viață [...]. Și asta, ca și vreo trei mai nainte, n-a fost bolnavă [...]. Și când i-a murit copila aceasta din urmă, Fefelega n-a spus o zi nimănui. (Agârbiceanu 1979: 289)

Gloss: [...] *four years, two months and thirteen days after the last dead, her one remaining little girl also died [...]. This one, like the three before her, had not been ill either [...]. And when this last girl of hers died, Fefelega did not tell anybody for a whole day.*

TT: [...] four years, two months, and thirteen days after the last death her one remaining daughter passed away. Nor had she been sickly any more than the others before her [...]. When her last girl died, Fefelega told nobody for a whole day. (Agârbiceanu 1971: 156)

b) ST: Apoi, încet-încet, cu mare greutate, socotea numărul anilor dintre morții săi, de la bărbat pînă la fetița aceasta din urmă [...]. Dar acum s-a insprăvit cu strapțul! Nu mai avea pentru ce să se zdrobească [...]. Acum, când Păunița sta cu luminița de ceară la căpățîi, simțea Fefelega că toată viața pentru copiii aceștia s-a chinuit. (Agârbiceanu 1979: 290)

Gloss: *Then, very slowly, with great difficulty, she worked out the number of years between her dead ones, from her husband to this last little girl [...]. But now the toil was over! She had nothing left to slave for [...]. Now, when Paunița was lying with the little wax candle at her bedside, Fefelega felt that it was for these children that she had toiled all her life.*

TT: Then, gradually, with great difficulty, she worked out the number of years between each death in her family, from her husband to her last girl [...]. But now all this toil was over! Now she felt for the first time that she had nothing left to slave for [...]. Now, with Păunița lying there with a wax candle flickering at her bedside, Fefelega realized that it was for the sake of her children that she had endured it all. (Agârbiceanu 1971: 157)

*Fefelega*, the short story from which (14) (and also 7) is taken, was first published in Romanian in 1908 (the ST used for this analysis dates from 1979) and appeared in an English translation in 1971 in the volume *Romanian Short Stories* published by Oxford University Press in the series *The World's Classics*. The name of the translator is not mentioned but seems to be Sever Trifu, a lecturer in English at Cluj University, Romania, and Language Fellow in Romanian Studies at the School of Slavonic and East

European Languages, University of London, several decades ago<sup>19</sup>. In the present study, the volume has been included in the M sub-corpus.

The story is a very sad account of the life of Maria (nicknamed Fefelega), a peasant woman in the mountains of Transylvania who earns her living by carrying stone to people who extract gold. Her husband had been a miner and died of tuberculosis, and all her children are sickly and die before they are fifteen. Once a widow and the only carer of her children, her only help is Bator - an old, white, blind horse who carries the stone, and who has become a friend to her. After the last child dies, Fefelega sells Bator in order to be able to buy a coffin and the bridal veil her daughter should be buried with, according to the custom for unmarried girls.

As the story unfolds and progressively approaches the moment when Păunița dies, the narrative presence becomes stronger and deictics are used to dramatic effect. In both the source text and the translation emotions run high and the translator's involvement is obvious in that he aligns himself to a large extent with the temporal location and psychological viewpoint of the poor woman, her hatred for the men who wronged her (those men), and her attachment to her children and Bator (this horse). These may be instances of what Lyons (1977: 677) calls 'empathetic deixis'.

The death of the only remaining child is for Fefelega an absolute '*acum*' (now), a centre of reference from which she looks back at her life and understands its meaning: "*Acum, când Păunița sta cu luminița de ceară la căpătîi*" (Now, when Păunița was lying with the wax candle at her bedside). The repetition of *acum* (twice in the ST and three times in the translation) conveys a strong narrative voice anchorage in the fictional world, but the verbal tenses are in the past, and the temporal-deictic function of this is to indicate that whatever the emotional closeness between narrator/translator and character, the events still happened some time back. Had '*acum*' (now) been replaced by 'then', or 'at that moment', this would have sharply increased the implied detachment. However, since the proximal not only appears but is actually emphasised by repetition, a reader 'inclusive' (rather than 'exclusive') reading is favoured, because the word *acum* (now) acts as an invitation to writer-reader-character solidarity and

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<sup>19</sup> This information has been supplied by Alexander Drace-Francis from the School of Slavonic and East European Languages, University College London.



creates a sense of shared attitude. Indeed, it is more than just shared spatio-temporal context involved here, but an “area of common purpose” (Richardson 1998: 131).

Both the Romanian and the English version flout the maxim of manner, by not abiding by the convention that adverbials have to be reconciled with the tense of the verb. Especially in English the narrative tense is the preterite and temporals such as ‘then’ are usually expected. At first sight it would appear that using a proximal (adverb, demonstrative) in a narration (in the preterite) is inconsistent but, according to Toolan, such inconsistency is based “not on compositional weakness but on strength”, because, “through the fluctuation of spatio-temporal location of the narrator in relation to the events recorded, the degree of intensity, subjectivity, and character-narrator empathy can be adjusted to suit varying circumstances” (Toolan 1990: 178). Opting to conform to the convention which would have a verb in the past associated with distancing deictics (and English translations in the corpus do this at times, as can also be seen in example 13) is merely one of the alternatives, and not always the most creative one at that. After all, deictic projection is also a convention, within the literary genre: it frequently happens that ‘this’, ‘here’ and ‘now’ are selected rather than ‘that’, ‘there’ and ‘then’ when the speaker is “personally involved with the entity, situation or place to which he is referring” (Lyons 1977: 677).

One of the deictic shifts which occur in the example above is the addition of a proximal demonstrative, in “[...] all this toil was over!”. This strengthens the ‘here and now’ pattern in the passage and is a counter-example to the distancing trend which is prevalent in the corpus (an analysis of other counter-examples to the trend can be found in 5.1.2). It also brings evidence of translational alternatives, when compared for instance to examples (1) and (2) in the current chapter, where the translation shifts anaphoric proximal demonstratives into distals. The addition of a distal adverb (there) in the excerpt above was discussed in example (7). The dead little girl lies with ‘*lumiņa de ceară*’ (the wax candle) by her side, as is the custom; indirect reference is used in the translation, and this brings about a presupposition-related shift with effects on closeness/distancing (for a discussion of presuppositions triggered by direct versus indirect reference, see section 5.2.1). However, the shifts we would like to focus on here involve four proximal demonstrative adjectives, three of them denoting the same referent, which are normalised into unmarked pronoun use as can be seen below.

Fefelega's one remaining daughter is emotionally referred to as '*asta*' (this one), '*copila aceasta*' (this child), '*fetița aceasta din urmă*' (this last girl). This repetition is marked in the Romanian and creates an implicature which is likely to concern the relevance of the event, suggesting involvement, participation, intensity. The series is rendered into English as 'she', 'the last girl', 'her last girl', which is a more neutral means of reporting Fefelega's feelings. A fourth shift is from "*simțea Fefelega că toată viața pentru copiii aceștia s-a chinuit*" (these children) to "Fefelega realized that it was for the sake of her children that she had endured it all", which is, again, a less foregrounded option.

It is possible that the use of a proximal demonstrative as seen in the source text here, while being marked in standard Romanian, might be a regional form which the author employs (Agârbiceanu was born in the part of the country he writes about, and became a priest in a village in the Transylvanian mountains), and indeed regional influences are present in the story in other aspects such as the lexis. Shifts here, as well as elsewhere in the corpus, may be evidence of (deliberate or non-deliberate) domestication in translation. More specifically, the concern for achieving a fluent-sounding translation (which, according to Venuti 1995: 1, is one of the main requirements a translation is expected to fulfil in the Anglo-American world) may at times dictate that forms which are acceptable but not preferred are replaced by conventional use which will be recognised by readers as familiar. Doing so is believed to increase the success of a translated literary work at the price of transforming a cultural 'other' into 'the same', and assimilating it (Venuti 1995).

Evidence to the effect that more than one option is often available in translating is provided by (15), which ends the present section on the distancing trend. Example (15) is taken from the short story *Remember* and its two translations into English (from which 9 was also taken).

**(15)**

a) ST: Am de Berlin mare slăbiciune [...]. Ca să-l vîntur înșă și să-l colind ca odinioară, nu mai mergea. Oboseam repede și oboseala putea înlesni reivirea boalei. (Caragiale 1990: 257)

Gloss: *I am very fond of Berlin [...]. But to rove and wander through it as before was no longer possible. I grew tired easily and the fatigue could favour a relapse.*



TT1: I have a great liking for Berlin [...]. Yet roving and wandering as before was now out of the question. I would soon grow tired and the weariness might have favoured a relapse. (Caragiale 1981: 165-6)

TT2: I am extremely fond of Berlin [...]. Unfortunately I was no longer able to wander about it as before. I grew tired quickly and fatigue could bring about a relapse. (Caragiale 1971: 191-2)

b) ST: [...] făceam lungi popasuri la o prăvălie unde se degustau capodoperile unei vechi rachierii neerlandeze [...]. Alături de mine, pe singura laviță din primitoarea cămară, singuratică ziua, tânărul cu chip de portret vechi sorbea pe îndelete băuturile cele mai dulci și mai parfumate [...]. (Caragiale 1990: 259-60)

Gloss: [...] *I used to make long breaks at a shop where one could taste the masterpieces of an old Dutch distillery [...]. Next to me, on the only bench in the hospitable chamber, empty during the day, the young man with the face of an old portrait sipped at leisure [sic] the sweetest and most fragrant drinks [...].*

TT1: [...] I used to make long pauses stopping at a shop where people came to taste the fine spirits of an old Dutch distillery [...]. Next to me, on the only bench in that hospitable chamber, quite empty in the daytime, the young man with the face of an old portrait would slowly sip the sweetest and most fragrant drinks [...]. (Caragiale 1981: 168)

TT2: [...] I used to stop a long time at a shop where people tasted the masterpieces of a traditional Dutch spirits distillery [...]. Next to me, on the only bench to be found in this hospitable room, rather lonely in the day-time, the young man with the face of an ancient picture sipped at leisure the sweetest and most perfumed drinks [...]. (Caragiale 1971: 194)

A variety of shifts take place in the samples above but we will focus here on only two of them, which concern deixis. In example (15a) the addition of a proximal adverb ('now') is found in one of the translations, whereas no such shift takes place in the second version. Something very interesting happens in (15b), where a ST definite article is translated as a distal demonstrative in one version and as a proximal in the other. Thus, 'primitoarea cămară' (the hospitable chamber) is in turn 'that hospitable chamber' and 'this hospitable room'. Cf. Levinson's 2000 givenness hierarchy of English anaphoric expressions, it would appear that both translations place more emphasis on the 'hospitable chamber' than the ST, because in the ST the chamber is 'uniquely identifiable' but not 'familiar' or 'activated' (to use Levinson's terms) - as it is in the two translations, and in particular in TT2. On the other hand, both TT1 and TT2 preserve (i.e. instance of non-shifting) the first person narrative structure of the original

and the self-reference in instances such as *I* and *me* (see, however, example 9, where TT1 eliminates the reader-inclusive *we* and *us*).

In view of evidence analysed in this chapter, it seems reasonable to suggest that, although usage-related differences between Romanian and English (in terms of preferredness/markedness), and possibly differences between genre conventions, may apply in some cases, overall there is considerable freedom in the translation of deixis and, in many cases, several viable alternatives are available. More evidence on this is given in 5.1.2.

The present section has mainly explored instances of [+ distance] shifting. In order to obtain a more comprehensive picture of the variety of translational shifts which occur in the corpus, we now turn to counter-examples to the main trend.

### 5.1.2 Counter-examples to the distancing trend

Although less numerous compared to distancing shifts, [- distance] shifts do occur and manifest themselves in several ways: turning a source text distal into a proximal (but this is very rare), not translating a ST distal or translating it by means other than a deictic and, finally, the most frequent type of [- distance] shift is to add a proximal indexical in the translated text where there was none in the original text (for numbers of occurrences see 4.1).

The first example is from the short story *Prince Cuza* (see example 6 in 5.1.1).

#### (16)

ST: După ce-a murit, l-au pornit credincioșii spre țară ca să-l ducă la Ruginoasa... (Sadoveanu 1955: 491)

Gloss: *After he died, the faithful brought him to the country, to Ruginoasa...*

TT: When he was dead, his faithful friends had him brought back to this country, to his domain at Ruginoasa. (Sadoveanu 1983: 125)

An extra proximal demonstrative ('this') appears in the translation, and it is possible that explicitation is involved. "The country", as the gloss reads, could have given rise to



the question, ‘which country?’ or could have been interpreted in the sense of ‘rural’. “This country” however means the country of the narrator (the presupposition-related explicitation “his domain at Ruginoasa” is analysed in example 17 in 5.2.2). Therefore, this shift does not particularly go against the [+ distance] pattern although it is still possible to discern increased involvement in the use of the proximal. The translator’s orientation in this case is to the perspective of the ST.

There are cases which are clearer counter-examples to the prevailing trend, and (17) below is one of them.

**(17)**

ST: Era un bătrîn verde, uscat, înalt și ciolănos [...]. Chipul măsliniu și prelung, spînat, abia țărcuit pe sub fălci de o zgardă de barbă rară și tepoasă, avea ceva tainic, trist și totodată vehement în el. (Voiculescu 1998: 297)

Gloss: *He was a vigorous, tall, lean and bony old man [...]. His olive coloured, long and rather hairless face, hardly framed with a collar of sparse prickly beard had something mysterious, sad and yet vehement in it.*

TT: A vigorous old man, lean, tall and bony [...]. The long olive coloured face, was almost glabrous, framed by a collar of thin prickly beard under the jaws. There was something secret, sad yet vehement in this face. (Voiculescu 1986: 177).

The excerpt is a portrait of the wolf tamer (see examples 1-3 and 5 in section 5.1.1) as the judge sees him upon first visiting the lonely hut. The translation adds an anaphoric proximal demonstrative (“this face”), and this is a clearly optional act - other alternatives would have been ‘that face’, ‘it’, or ‘his face’. We have seen other instances, in this story, when the opposite trend occurs (examples 1 and 2 section 5.1.1; “these frightful sounds” to “that frightful wailing”, and “this magic” translated as “that magic”); the shift in example (17) might even be a compensatory trace of the earlier [+ distance] shifts. In any case, the fact that within the same story a translator shifts in both directions is a reminder of how complex translating is and, perhaps, of the variety of issues which are present. The dynamic nature of deixis and the facility with which it can be employed to continuously reshape the relationship between translator, text, and readers are involved. For one thing, example (17) does bring evidence that translational alternatives exist and are exploited for various purposes.

A further counter-example to the [+ distance] trend in the corpus concerns adverbs and is from the novel *Desculț* (*Barefoot*) by Zaharia Stancu (the M sub-corpus). Two other novels by this author are in the corpus, and example (13) in section 5.1.1 comes from one of them. First published in Romanian in 1948, *Desculț* was quickly translated into other languages, including English. In the present study, the 1982 edition is used. The UK version published by Fore Publications appeared in 1952; only the initials of the translator (P.M.) are printed in the book. An eloquent preface by Jack Lindsey (who has prefaced other translations from Romanian such as *Mitrea Cocor*, also translated by P.M.) shows concern that the book “may seem remote and strange in a country like Britain, far back in history” (Lindsey 1952: 9), and even finds it necessary to emphasise that “this is a European book, profoundly European in the best sense”. The preface concludes with an appeal to readers to identify with the characters and issues in the book, because failing to do so would not be a fault of the book, but of the “deadly insularity” of the target readership.

A first person narrative, the novel is the story of a lame boy, Darie, who grows up in a village in the South and eventually leaves for the capital to make a living, having been forced to give up hopes of studying to become a teacher. He also appears in another of Stancu’s novels, *Jocul cu moartea* (*A Gamble with Death*).

### (18)

ST: Ca să iei drumul în picioare, să te duci la nuntă la neamuri peste trei sate, trebuie să ai măcar cu ce să te îmbraci ca lumea. Nimeni din casă nu mai are un strai întreg. Ne spală mama cămășile peticite. Rămînem goi in casă. (Stancu 1982: 290)

Gloss: *In order to start your journey on the road, to go to a wedding to relatives three villages away, you must at least have something decent to wear. Nobody in the house has a whole garment any longer. Mother washes our patched shirts. We stay naked indoors.*

TT: To go on foot to a family wedding three villages away we must at least have proper clothes. Nobody in our house now has a whole garment. When mother washes our patched shirts, we stay naked indoors. (Stancu 1952: 178)

The approximating shift from the neutral ‘any longer’ to ‘now’ occurs within a present tense narrative (historical present). It is significant that the translator not only preserves the present tense framework, but actually reinforces the deictic projection by introducing the proximal deictic ‘now’. Clearly, this indicates involvement.



Finally, example (19) presents an example of direct reference ('you') added to the translation. The excerpt is from the novel *The Gypsy Tribe*, by the same author as (18) (for distancing in *The Gypsy Tribe* see example 13 in 5.1.1). Hym Basha's caravan has now finally been exiled into the wilderness, where life is tough and death comes easily.

(19)

ST: Moartea nu avea chip, nimeni nu o văzuse vreodată, și nici acum n-o vedeau, dar oamenii o simțeau pe aproape. Se temeau și ei, cum de altfel se temeau toți oamenii, chiar aceia care se lăudau că nu se tem de ea, dar știau că nu e nimic de făcut împotriva ei. (Stancu 1999: 296)

Gloss: *Death did not have a face, nobody had ever seen her, and neither did they see her now, but people could feel her nearby. They too were afraid, just as all people were, even those who boasted that they were not afraid of her, but they knew that nothing can be done against her.*

TT: Death was without shape, nobody had ever seen her, but the gypsies felt her creeping about, near by. They were afraid of her, as everybody is, even those who boast that they are unafraid, because there is no weapon with which you can defend yourself against her. (Stancu 1973: 203)

The translation shifts from past to present tense ('*se temeau*', '*se lăudau*', '*știau*' → 'is', 'boast', 'is'), which effects a shift in meaning in the sense that, while in the original it is the gypsies who were afraid, who boasted, or knew that nothing could be done, the translation presents these as universal facts (hence the omission of the ST proximal deictic '*acum*' (now) which links the statement to a definite circumstance). This, and the direct reference to the reader as 'you' and 'yourself', carries an overt claim of increased relevance for the audience compared to the 'off record' claim in the original, where readers are left to decide whether the confrontation between this particular gypsy tribe and death is of any consequence to them or not, and to what extent. Elsewhere, personal reference appears in both ST and the translation; "*Orice le-ai spune, morții tac*" (Stancu 1999: 296) (Whatever you may say to them, the dead keep silent) is rendered as "Whatever you say to them, they never reply" (Stancu 1973: 203). The frequency and direction of shifts in reader-involving devices vary within the same literary work, and between translations; while overall distancing seems to be at work, it also appears that the translator deals with many cases individually, shifting (e.g. by removing or adding personal reference) or not shifting, without there being an obvious or generalisable reason for doing so.

### 5.1.3 Discussion

By discussing individual examples and pointing to links between them, we have endeavoured to show ways in which translational shifts in deixis are able to create distance, neutral alignment or closeness between translator and text (characters, events, ideas or emotions expressed), translation and its readers. More time has been spent investigating distancing shifts (section 5.1.1), because, as shown in the quantitative analysis, they constitute the prevalent trend in the corpus. Several approximating shifts have also been discussed (section 5.1.2), because they are also part of the complex picture of what happens in the translations, and because they provide evidence in support of the existence of translational alternatives.

Deixis has been shown to be a dynamic area, as distals, proximals, and person indexicals are used in the ongoing process of shaping the complex relationship between writer, translator, text, and readers. Deictic features (demonstratives, adverbials and verbal tenses, and person deictics) operate in networks or clusters, and alter the centre of gravity to or away from the reader. It is not claimed here that all source texts have a very strong ‘here and now’ pattern and that translations prefer a ‘there and then’ orientation. Source texts vary in terms of how strong the ‘here and now’ anchorage is and, given that the corpus is comprised of literary works, the range can indeed be considerable. What is suggested, however, is that overall the translations *weaken* whatever ‘here and now’ exists in the original texts, and increase distance or neutral stance as compared with the original texts. The difference between STs and TTs with respect to deixis is, therefore, one of degree rather than of essence.

Confident statements about translator intentions or the reasons behind shifts are not possible, nor is it possible to state whether a shift is a deliberate or non-deliberate act on the part of the translator. What analysis has been able to do is to explore a variety of factors which *may* be involved. Some of these are translator dissociation from the original writer or text, accommodation to perceived values, beliefs and expectations of the target audience, politeness phenomena, normalising markedness to unmarkedness, or domestication. A deliberate translating strategy could be involved in some of the cases.



The characteristics of the source text itself (e.g. whether it uses historical present or not, whether it employs proximal deictics within in past narrative framework) is probably one of the factors involved, and given the number and variety of source texts in the corpus, this poses a serious methodological difficulty for isolating audience design as a factor in shaping translations. Potential differences in genre conventions (i.e. those of fictional narrative) between Romanian and English might also be at work in shifting, as well as differing language conventions with respect to preferred/dispreferred usage. It has, however, been shown that the latter are not binding; rather they act as guidelines which do not impede a translator's ability to use language creatively, towards specific pragmatic effects - especially as literary texts are involved.

## **5.2 Presupposition and audience design**

We now turn to presuppositions in the Romanian-English translational corpus. By examining ways in which presupposition is handled in translated texts as compared to the originals, it is expected that information can be gathered about the translators' assumptions and expectations about readers, and consequently about the translators' audience design. This is what 5.2.1 and 5.2.2 propose to do, by analysing examples in their co-text, and by exploring the interaction between individual cases. While 5.2.1 deals with presupposition triggered by definite reference, 5.2.2 tackles the issue of cultural presuppositions in translating.

### **5.2.1 Definiteness versus indefiniteness: existential presuppositions**

The quantitative analysis (see findings in 4.2) shows that there is a preference for [-definite] as compared to [+definite] shifting in the corpus<sup>20</sup>, which means that whenever a shift in articles takes place, it is more likely to be in the direction of indefiniteness. We start by exploring a number of examples which illustrate the main pattern in the corpus, but will then analyse examples which run counter to the trend.

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<sup>20</sup> There are 120 [-definite] and 43 [+definite] shifts in the R sub-corpus, 36 [-definite] versus 19 [+definite] shifts in the B sub-corpus, and 85 [-definite] versus 23 [+definite] shifts in the M sub-corpus (see section 4.2).

### 5.2.1.1 Audience design and [- definite] shifts

Our first example comes from a short story entitled *Califar's Mill*, by Gala Galaction, which is included in the R sub-corpus. Originally published in 1902, *Moara lui Călifar* appeared in English translation in the 1981 volume *Romanian Fantastic Tales* translated by Ana Cartianu and published in Bucharest. As the title of the translated volume suggests, the story belongs to the literary genre of the fantastic. Călifar is a miller, and is said to be a wizard, a lost soul who serves the devil by leading other people to damnation. Young people from neighbouring villages are attracted by the promise of fortune he can bestow on them, but end up losing their minds and soul. Extract (1) is taken from the very beginning of the story, introducing the setting, and is the first contact (excepting the title) the audience has with the text. Because of this, the information readers are given at this point, and the way in which it is presented, are extremely relevant for our investigation of presupposition as evidence of audience design.

#### (1)

ST: In preajma unei păduri străvechi se privea în iaz moara lui Călifar. Se privea de când se ținea minte în bătrâni satului din cealaltă margine a pădurii [...]. (Galaction 1979: 160)

Gloss: *Near an ancient forest, was mirroring in the pond Călifar's mill. It had been mirroring for as long as the elders of the village from the other end of the forest could remember [...]*

TT: On the borders of an ancient forest Califar's mill stood mirrored in the water of a pond. It had been thus looking into the water ever since the oldest villagers, on the far side of the forest, could remember [...]. (Galaction 1981: 48)

There are several presuppositions in (1), and ST and TT share most of them. Both of them presuppose, by using definite description and a possessive adjective, the existence of Călifar's mill (rather than presenting it as new information, which it actually is), as well as that of the village and its elders, at the other end of the forest. According to Prince's (1981) categories of 'assumed familiarity' (see 3.6.2.2), Călifar, his mill, the forest and the village are 'brand-new' information (even though presented as familiar), while the elders of the village are 'inferrable'. No clues are given, however, to link the location of the narrative with the world outside, with places a reader might identify - the village, forest, and the mill could be anywhere in the Romanian countryside. It is



therefore unlikely that these presuppositions are used because readers are assumed to share the writer's awareness of the existence of the entities designated. Rather, they are an expression of the writer's commitment to the existence of the entities which are presupposed and, at the same time, a subtle way of making new information appear to be what readers should or are expected to take for granted (Yule 1996b: 27-9). Such a procedure would not be unfamiliar to readers of fiction, as it is a conventional way of inviting readers to enter a fictional world.

The one instance in which ST and TT (1) differ in terms of how presupposition is handled is that in the Romanian definite description is used upon first mentioning the pond, while the translation features an indefinite article at that point. This presupposition is of a different kind from most presuppositions mentioned above, with the exception of 'the elders': it may be argued that usually mills have ponds and consequently the ST definite description does not presuppose the existence of the pond but rather assumes that readers with an elementary knowledge about mills will take the pond for granted once they have accepted the presupposition concerning the existence of the mill. To use Prince's (1981) framework, 'the pond' is 'inferrable' information (see 3.6.2.2); however, not every mill has a pond: wind mills do not! In any case, we are left with a ST presupposition which is not rendered as such in the translation - which means that TT readers will have to do less inferencing than ST readers, on this occasion.

Not only is the pond presented in a way which suggests it is already known to readers, but, in actual fact, in the Romanian 'the pond' is introduced in the narrative before the mill itself (English word order differs from Romanian and literally reproducing it in the gloss has resulted in a very awkward sentence), and carries the first definite article of the narrative. As can be seen later in the story, the pond is the centre of evil around which events revolve, and the way it is presented in the opening paragraph is not without significance for the overall development of the narrative. In the translation, the focus is shifted onto the mill.

Further evidence of [- definite] shifting can be seen in (2), and here the shift takes place in the very title of a story. *Seven Wooden Horns* is part of a series of short stories recounting episodes from the everyday life of the mountain people who knew Avram Iancu and shared his struggle to obtain legal rights for the Transylvanians, who were at that time under Austro-Hungarian rule. It is the only one of the series to be translated

into English, in the volume *History and Legend in Romanian Short Stories and Tales*, and is part of the R sub-corpus. The Romanian word for wooden horn is *tulnic* and in Dominic Stanca's writings it acquires the status of a central symbol which reinforces the coherence of the series and appears in the title of several short stories (*Tulnicul lui Gădălin* - Gădălin's Wooden Horn, *Tulnicele Iancului* - Iancu's Wooden Horns).

**(2)**

ST: Cele șapte tulnice (Stanca 1981: 102)

Gloss: *The seven wooden horns*

TT: Seven Wooden Horns (Stanca 1983: 267)

The original title appears to convey a message along these lines: we all know about *the* seven wooden horns, and this story will be about them. On the other hand, the translation reads: there are *some* wooden horns, and this story will be about seven of them. The Romanian gives the impression that the writer assumes (or behaves as though he assumes) that readers are aware of the existence of the seven wooden horns before reading the story and that, upon encountering the title, they will immediately be able to bring this awareness to their reading of it. This is because, as recommended in grammars of Romanian (and English), definiteness shows that the reality designated by the noun is (assumed to be) known to the speaker and hearer (Daniliuc and Daniliuc 2000: 46). Definite reference in the title of the story claims familiarity with the entities which are the subject of the story, and suggests that, while the narration will enhance the audience's awareness by presenting new and relevant information, the existence of the entities can be taken for granted (presupposed) from the outset and is 'common ground' (Brown and Yule 1983: 29) for the participants in the conversation. However, this explanation is not entirely satisfactory because, as will be shown, presuppositions can be used for various other reasons besides presupposing awareness of the items designated.

The question which arises at this point is: what is the reason for the presupposition in the title? The most straightforward explanation would be the one mentioned above, namely that the original writer assumed his readers to be familiar with the existence of the wooden horns: perhaps they are part of the cultural background readers are expected to have (if this is the case, it should, however, be noted that their significance is likely to be local rather than national, and that it would be unusual if the writer assumed even his



Romanian readers to be aware of the wooden horns). If the translator perceived this presupposition as linked to assumptions of Romanian cultural background, it is possible that her intervention in the title and the [- definite] shift are tailored for an audience which was assumed not to share the cognitive environment (to use Sperber and Wilson's 1986 term) which would enable them to recover the interpretation. This would be a delicate balancing act based on (warranted or unwarranted) assumptions about both ST and TT audiences (and about the writer's assumptions and intentions). As pointed out by Fawcett (1998: 120-1), it is frequent that ST audiences themselves, as well as the translators, do not possess the awareness the author of the original assumed them to have and at times even authors forget some of the information they presuppose. Therefore, the extent to which target audiences share the cognitive environment required by the text, and even form an opinion about what context the original requires, is by and large a matter of making assumptions about assumptions. It is possible that the shift in (2) is due to a translator assumption which is different from the assumption the original writer made at that point.

There is an alternative to the interpretation above, and it involves moving away from the view that 'the horns' is a straightforward presupposition. It has already been shown that it is unlikely source text readers were really expected or believed to have previously been aware of the wooden horns. If this is the case, the writer appears to be flouting Grice's maxim of quantity, by not being as informative as required. Or could it be that the information is not really needed, because something else is going on in the title? Perhaps nothing is really presupposed in ST (2) except the readers' willingness to cooperate and become 'authorial accomplices' (Mey 2000: 346); a make-believe presupposition is present, giving the appearance of a presupposition but actually acting as an invitation to enter the genre convention (see the similarity of this with *Snow White and the Seven Dwarves*) and taking the definiteness (and thereby the existence of the entity it designates) for granted. The fact that readers are generally not confused by such usage and know how to react to it means that it would occur to very few people reading the title *Snow White and the Seven Dwarves* to inquire, which dwarves are you talking about?

In view of the arguments above, it appears that the [- definite] shift in the translation of (2) is not required by conventions of genre and, most probably, neither is it triggered by

considerations of a different cognitive environment (i.e. cultural background) in the TT as compared to the ST.

Fawcett (1998: 120) argues that the ways in which translators handle presupposition may be seen as ‘acts of provocation’, and this can be interpreted in at least two different ways: that readers are challenged into participation by creating the need for extra processing effort on their part, and secondly, that they are provoked into overlooking the potential threat to their negative face involved in presupposing a sharedness which may not be the case. Indeed, it is conceivable that by presupposing rather than supplying information, especially in cases such as ST (2) where it seems that readers will not really share the presupposed awareness, and within the literary genre which validates this usage, the Romanian title *Cele șapte tulnice* provokes engagement with the narrative, and this may be part of the (deliberate or non-deliberate) audience design of the original writer. Readers are welcomed from the outset into the in-group of persons (accomplices!) who know about the wooden horns, and to whom the narrator belongs; they are not required to wait till they have read the story to obtain in-group membership. Complicity and closeness (not unlike those triggered by the use of proximal deictics, as seen in the analysis in 6.1.1) is thus established between writer and audience, and it is precisely this kind of relationship that the [- definite] shift in the translation diminishes with its more objective approach, which takes for granted less ‘common ground’ with readers. A similar detachment was seen to be created by the use of distal deictics, in 5.1.1, which suggests that the audience design of the translations differs from that of the originals in systematic ways.

Isolated occurrences can be meaningful but do not in themselves support a claim that [- definite] shifting is important in the overall picture provided by the translations. This is why, in what follows, we examine several sets of examples in order to better observe how the effect of shifting builds up in a text and gains significance with each new instance. The first set we look at is from *Seven Wooden Horns*, the short story from which (2) was also taken.

### (3)

a) ST: Pe drumul rîpos care suie către Buciumele cele șapte, între străjile de piatră ale munților, în susul firului de apă, trecea cu pas bătrîn și poticnit un creștin [...]. (Stanca 1981: 102)



Gloss: *On the steep road which goes up to the seven Buciums, between the watchful stony mountains, up the stream, a Christian man was passing, old and stumbling in his walk [...].*

TT: Up the steep road to the seven Bucium villages, between the stony, watchful mountains along a tiny stream, a man [...] was trudging, tired and stumbling in his walk. (Stanca 1983: 267)

b) ST: [...] n-avea nici straiță, nici ciubere, ci numai fluierul din care zicea. Ce zicea îl pricepeau poate munții cu urechi de piatră, deprinse din încrîncenarea celor două bătălii să ia aminte la chemarea tulnicelor la judecata cea dreaptă [...]. (Stanca 1981: 102)

Gloss: [...] *had neither bag nor tubs, but only the pipe he was singing from. What he was singing perhaps the stony eared mountains could understand, as they had learnt from the fierceness of the two battles to listen to the wooden horns summons for the just judgement.*

TT: [...] had neither bag nor tub, but just the pipe that he was fingering. What he meant to say, the stone-eared mountains alone may have understood, for the calamity of the two battles had taught them to mind the call of the wooden horns for a just verdict. (Stanca 1983: 268)

Example (3a) is reproduced from the opening of the short story and sets the scene of the narrative. The definite reference in the ST title (see example 2), which can serve to guide reading and suggest that (make-believe) familiarity with part of the characters, events and places is presupposed, is taken up in (3) by a series of presuppositions: ‘drumul’ (the road), ‘Buciumele cele șapte’ (the seven Buciums), ‘străjile de piatră ale munților’ (the watchful stony mountains), ‘firului de apă’ (of the stream) which shape a location which is, allegedly, known to the audience. In contrast with this presupposed familiarity with the landscape is the human presence, which is introduced at this point and referred to via an indefinite (un creștin; a Christian man). In fact, not presupposing the existence of the man while presupposing familiarity with the scenery does not necessarily refer to information which readers already possess or may possess, but to something which is treated as being real in the context and, as such, a guiding device encoding a preferred reading. According to Hickey *et al* (1993: 81), this use of presupposition is frequent in literary fiction and readers tend to go along with the presuppositions they encounter and perceive them as vital for what is communicated to make sense. It is rare for such presuppositions to be questioned (Yule 1996b: 29).

Most definite references in (3a) are translated as such, preserving the existential presuppositions, but there is one shift from ‘firului de apă’ (of the stream), to ‘a stream’. Mountains usually have streams and consequently the ST existential presupposition is

linked to the category of ‘inferrables’ involving ‘stereotypic assumptions’ (Prince 1981: 242). Not only Romanian mountains have streams; a UK audience would be equally able to make the inference required in the original text, but the need to do so is weakened in the translation. Since there is no obvious reason why “the stony mountains” should be presupposed in the translation but the definite reference to the stream should be shifted to an indefinite reference, it is reasonable to suggest here that presupposing is not necessarily a matter of what the audience can actually be assumed to be aware of, but, rather, a matter of how a writer or translator chooses to present things.

Example (3b) presents yet again a series of ST presuppositions by definite description which are translated as such, with one exception: *‘judecata cea dreaptă’* (the just judgement) rendered as ‘a just verdict’. Shifts add up, and on the first page of the short story there already are at least three [- definite] shifts.

*‘Judecata cea dreaptă’* is a biblical reference which creates a symbolic comparison between the expectation of a better world in the thereafter and the mountain peasants’ struggle for justice in this world, and in-group awareness is needed to understand it. The translation removes the (assumed) familiarity which the original text seeks to provoke and, instead, a neutral and juridical term (‘a just verdict’) is used. It is possible that this usage is indicative of and conducive to a lesser degree of involvement in the story, in a similar way to the distancing triggered by the use of some distals (see 5.1). Interpreting the shift as part of cultural presupposition (in view of the fact that it may be due to the translator’s assumption that target readers would not readily be able to understand the reference) rather than as a presupposition triggered by definiteness, does not diminish the distancing because, either way, in-group awareness is no longer such an imperative. It is important to consider that in actual fact the background context required to decode the ST presupposition in (3b) is one of Christian heritage, which both source and target cultures share.

Interesting instances of non-shifting can be seen in ‘the calamity of the two battles’ (3b), where no indication whatsoever is given as to what battles are alluded to. This is probably a case of cultural presupposition manifesting itself via definite description, because the two battles are not a figment of the narrator’s imagination but, as source text readers might be aware, they were real life confrontations. It is puzzling to notice



that the translator, while shifting ‘the just judgement’ into ‘a just verdict’, does not consider it necessary to supply (perhaps in a footnote) target readers with information they are less likely to share. On the other hand, ‘*Buciumele cele șapte*’ (the seven Buciums) in (3a) does preserve the existential presupposition triggered by the definite article but an explicitation (‘the seven Bucium villages’) is present in the translation to tell readers that the Buciums are villages and not, for instance, mountains or rivers. Cultural presupposition will be dealt with at length in section 5.2.2.

Our next examples (4 and 5) are taken from the novel *Vânătoarea regală* (*The Royal Hunt*) by D. R. Popescu, which belongs to the M sub-corpus. The novel depicts the life of a small village community in a short but troubled period of time, and the effect of a rabies epidemic upon everyday life. On another level of interpretation, *The Royal Hunt* is a politically subversive allegory whose major metaphors (rabies, the hunt, the dogs) refer to the negative changes brought about by a socio-political force which disrupts life and creates confusion, ultimately resulting in general madness. Compare the title of this novel (definiteness in both ST and TT, presupposing ‘common ground’ with readers) with the title in example (2) (translated as *Seven Wooden Horns*), where in a similar situation another translator shifted towards [- definite]. We see here an instance of non-shifting which is important in establishing the availability of translational alternatives.

The excerpts in (4) refer to the onset of the rabies epidemic, and to people’s initial reactions of disbelief, confusion, and fear.

**(4)**

a) ST: Cîinele a rămas unde căzuse [...]. Lereu l-a tras de un picior în șanț și-a răsturnat un mal de pămînt nisipos peste el [...]. (Popescu 1973: 197)

Gloss: *The dog remained where it had fallen [...]. Lereu pulled him by a leg into the ditch and turned over a sandy edge over him [...].*

TT: The dog remained where it had fallen [...]. Lereu pulled him by a foot into a ditch and turned over an edge of its sandy soil over him [...]. (Popescu 1987: 63)

b) ST: Și în toată această vînzoleală, fiecare își privea cîinele din bățatură cu neîncredere și nu se despărțea de ciomag nici în cînd intra sub pătură. Țeavălungă dormea cu parul în brațe, speriat c-ar putea sa dea cîini cumva peste el în casă și să-l muște. (Popescu 1973: 199)

Gloss: *And in all this upheaval, everybody looked at their own dog with suspicion and did not separate from their club even when they went to sleep. Longbarrel slept with the pole in his arms, frightened that the dogs might somehow come upon him in the house and bite him.*

TT: And in all that turmoil, everyone looked at his own dog with disbelief, and they didn't let their clubs go out of their hands even when they crawled under their covers. Longbarrel slept with a club in his arms, frightened that dogs might come upon him in his house and bite him. (Popescu 1987: 65)

c) ST: [...] monezi vechi și noi [...]. Le scutură în palme ca pe niște grăunțe și le aruncă într-o postavă lângă vaca legată de dud. (Popescu 1973: 199)

Gloss: [...] *old and new coins [...]. He shook them in his hands like some seeds and threw them onto a cloth near the cow tied to the mulberry tree.*

TT: [...] old and new coins [...]. He shook them in his hands like seeds, and then threw them onto a cloth next to the cow, which was tied to a mulberry tree. (Popescu 1987: 66)

In (4a) 'the dog' is not mentioned for the first time; its death and the impact on the villagers' mind are discussed at length in the previous chapter in the novel. The ditch where Lereu-the-gypsy buries the dog is, however, new information. It can be argued that since the location of the narrative is a village, there are bound to be ditches there and they can be inferred by readers once the countryside setting is established (in Prince's 1981 framework, it would come under the category of 'inferrables' involving 'stereotypic assumptions'; also see example (1) – Mills have ponds, and (3) – Mountains have streams). This would be one explanation for the definiteness in the original (the ditch). On the other hand, the definite singles out one particular ditch from among all the ditches in the village, pointing out almost like an indexical. It reinforces the narrator's presence at the event (the novel is a first person narrative) while also eliciting reader engagement with the story by assigning presuppositional status to an awareness readers could not possibly have, but which, once taken for granted, can act as a common ground between narrator and audience.

A similar, though not identical, case is in ST (4c), in which the mulberry tree is first mentioned in the ST using definite reference (the cow had been mentioned before), and in the TT using indefinite reference. The difference between (4a) and (4c), however, is that while it is reasonable to infer that villages have ditches, and perhaps even that there are trees in people's yards, mulberry trees are less inferrable. In Prince's (1981) framework, the mulberry tree would come under the category of 'brand-new'



information, and, more precisely, within the subcategory ‘brand-new, anchored’ (‘anchored’ due to being linked to an inferrable entity, namely ‘trees’). The fact that the mulberry tree is presented as commonplace in the original text and as a non-inferrable feature in the translation implies that there is less complicity or closeness between translator and audience. If we accept Brown and Yule’s (1983: 29) definition of pragmatic presuppositions as assumptions made by the speaker about what the hearer is likely to accept without challenge (in fact, presuppositions can be actively used as means of avoiding challenge!), the fact that there are fewer such assumptions in the TT compared to the Romanian text points to the fact that the target audience may have been perceived as being less willing to take things for granted, and to accept the level of imposition in the ST.

In example (4b) there are two shifts from definite to indefinite reference. Thus, ‘*parul*’ (the pole) which Longbarrel keeps at hand in case of dog attacks is rendered via the indefinite ‘a club’, which can be any club at all and not the one which writer and readers know about, as claimed in the ST. The pole is not ‘brand-new information’; rather, it is ‘textually evoked’ (cf. Prince’s 1981 term) by ‘club’ in the previous sentence. Nonetheless, the translation opts for increasing indefiniteness. In a similar vein, the source of the threat (‘*cîinii*’ – the dogs) is named in the translation by a less specific term, ‘dogs’. It is important to note that both ST and the translation could have used either definite or indefinite, and consequently the ST use of definites and the TT shifts to indefinite acquire significance by virtue of the alternatives which might have occurred instead. The deictic shift from ‘in all this upheaval’ to ‘in all that turmoil’ adds a further distancing note in (4b).

Other instances of [- definite] shifting can be quoted in support of those which have already been reproduced. Attempting to cure Pecker (one of the peasants) of rabies, the village sorceress ‘takes the spell off him’ and covers “*rana veche a acestuia*” (the old and healed wound) with a copper coin (which she is to get as a reward for healing him), then another peasant shows them a dog which, he says, is responsible for Pecker’s illness and hits it on the head “with the edge of the hoe”, and a young woman asks the sorceress to take the spell off her too, “so strongly did she believe that the dog had bitten her”. In the translation, on the other hand, the sorceress covers “an old, closed wound” of Pecker’s with a copper coin, the dog is killed with the edge of “a hoe” and the woman believes that “a dog” bit her.

Immediately after an episode of arguing between villagers, an unexpected arrival takes place in the novel and quasi mythological connotations are created by the interplay of definiteness, word order, the name Moise (Moses) and the sentence initial junctive *și* (and).

(5)

ST: *Și-atunci a apărut prin praful drumului, ieșită ca din pământ, șareta cu Moise și Horia Dunărințu [...].* (Popescu 1973: 205)

Gloss: *And then appeared from the dust of the road, as though sprung from the earth, the gig with Moise and Horia Dunărințu [...].*

TT: Then there appeared in the dust of the road, as if it had sprung out of the earth, a buggy with Moses and Horia Dunarintzu [...]. (Popescu 1987: 75)

The existence of ‘*șareta*’ (the gig) which suddenly appears from the dust of the road as though it had sprung out of nowhere in a miraculous way is presupposed in the ST, although in fact it is ‘brand-new’ information in Prince’s (1981) terms. It almost brings to mind a scenario in which readers had previously been acquainted with this episode and, as the narrator reaches the moment in the story when it happens, he signals it by saying: ‘*Și-atunci a apărut prin praful drumului [...], șareta [...]*’ (And then appeared from the dust of the road [...] the gig [...]). In fact, throughout the novel, existential presupposition is used to elevate the story to the status of a significant allegory everybody should be aware of. The [- definite] shift and the omission of the junctive ‘and’ compound to diminish this effect, by subtly changing the narration of the event into a factual discourse in which the buggy is reduced to its function as a means of transportation rather than a symbolic image which will re-appear at later stages in the novel.

The dynamics involved in translating definites and indefinites can also be noted in (6), in a set of three excerpts taken from the first chapter of the novel *Baltagul* (*The Hatchet*). *Baltagul* is situated at the crossroads between detective, psychological writing, and traditional rural literature, and most Romanian readers would probably find it easy to recognise this novel as a reworking of the theme in the ballad *Miorița*, particularly as two lines from the ballad are quoted at the very start of the ST



(intertextuality), and guide reading. Target readers are clearly not expected to bring to the text an awareness of this ballad, as the quotation is not reproduced in the translation.

A peasant woman from the Moldavian mountains embarks on a journey to find her disappeared husband or punish his murderers, as she suspects he was killed and that the flocks of sheep he was travelling with were stolen. Comparing the definiteness in the ST and TT title of this novel with the [- definite] shift in the title of the short story in (2) and (3) gives an indication of the range of alternatives often available in translating, which result in titles such as *Seven Wooden Horns* on the one hand, and *The Hatchet* (6) and *The Royal Hunt* (examples 4 and 5) on the other. The excerpts below depict the routine of everyday life in the mountains, before Vitoria Lipan decides to start her journey.

**(6)**

a) ST: Se auziră pe drumușor talănci cunoscute. Venea Mitrea argatul cu cîrdișorul de oi și cu cele două vaci. (Sadoveanu 1987: 94)

Gloss: *Familiar bells were heard from the narrow road. Mitrea the farm-hand was coming with the little flock of sheep and the two cows.*

TT: The sound of familiar cattle bells was heard from the narrow road. Mitrea, the farm-hand, with a few sheep and two cows, was coming along it. (Sadoveanu 1983: 20)

b) ST: Stăpîna strînse din umeri. Omul se așeză mormăind pe colțul prispei. (Sadoveanu 1987: 95)

Gloss: *The mistress shrugged her shoulders. The man sat down grumbling in the corner of the verandah.*

TT: The housewife shrugged her shoulders, and the man, mumbling something, sat down in a corner of the verandah. (Sadoveanu 1983: 22)

c) ST: [...] o privi deodată un pui cenușiu de mîță, cu ochi rotunzi [...]. Minodora puse lîngă fărături scăfița știrbă și turnă în ea cîteva picături de lapte. (Sadoveanu 1987: 98)

Gloss: [...] *suddenly a grey kitten looked at her, with round eyes [...]. Minodora placed the chipped bowl by the crumbs and poured a few drops of milk into it.*

TT: [...] a grey kitten looked at her with rounded eyes [...]. Minodora set a broken bowl on the floor by the crumbs and poured a little milk into it. (Sadoveanu 1983: 26)

“*Cîrdișorul de oi*” (the little flock of sheep) is ‘textually evoked’ by “familiar bells” which, in the countryside, usually signal the approach of cattle or sheep. In the translation, it is rendered as “a few sheep”, “*cele două vaci*” (the two cows) is translated as “two cows”, and “the corner of the verandah” is “a corner of the verandah”. Along the same lines, the familiar chipped bowl (the chipped bowl, none other) which Minodora uses to feed the kitten is translated as “a broken bowl”, that is, any broken bowl. These are all familiar objects in Vitoria’s world, and referring to them via definiteness in the original is suggestive of the narrator’s psychological involvement (similar to deictic projection). Other [- definite] shifts in the novel add to the trend (e.g. ‘Suddenly the wind passed rustling’ → ‘Suddenly a wind rustled’, ‘The/her chestnut wisps of hair strayed [...]’ → ‘Stray wisps of chestnut hair’). The difference between ST and translation is one of degree, because in actual fact indefinite reference can also trigger presuppositions, although of a weaker kind (e.g. “set a broken bowl on the floor” presupposes that a bowl exists in the household, but is weaker than “placed the chipped bowl on the floor” which, besides presupposing that a chipped bowl exists in the room, signals a specific chipped bowl and claims that readers are aware of it).

While a number of definites are shifted in translating, others are not. In (6a) ‘the narrow road’ is presupposed in both ST and the translation. The definite article in ‘the crumbs’ (in 6c), however, is not a case of existential presupposition because the crumbs are mentioned in the preceding sentence, which is not reproduced here (i.e. they are ‘textually evoked’).

We conclude our analysis of [- definite] shifts with a series of individual examples from a variety of texts, and brief comments on each of them. They will not be able to provide an image of how the [- definite] trend is built up in a text, as sets of examples can; the reason for including them here is, rather, to support the claim that shifting takes place in all the books in the corpus, and to show a variety of shifts involving existential presupposition. Each of the isolated instances presented in (7) – (10) is actually part of a series of shifts which, for reasons of space, could not be reproduced here.

**(7)**

ST: Păzește via boierului turcul [...] Pătrunde în vie pe poarta numai de el cunoscută. (Stancu 1982: 292)



Gloss: *He guards the boyar's vineyard, the Turk does. He enters the vineyard through the gate known only to himself.*

TT: The Turk guards the boyar's vineyard [...]. He walks into the vineyard through a gate known only to himself. (Stancu 1952: 180)

The forbidden vineyard and the secret gate are part of local knowledge in Stanca's novel and the ST definite description in '*poarta*' (the gate) presupposes this awareness, which readers (either of the ST or the TT) cannot, in fact, possess. It seems unlikely that the writer is maliciously uninformative (flouting Grice's maxim of quantity); rather, there may be a good reason for using a presupposition: to provoke readers into participation, claim in-group membership with readers, create closeness and a sense of shared purpose.

### (8)

ST: [...] lămurește la rîndul ei femeia legată cu o basma pe subt fălci, ținînd de mînă fată.  
(Petrescu 1982: 388)

Gloss: [...] *says in her turn the woman with a kerchief tied under her chin, holding the little girl by the hand.*

TT: The woman who spoke had a kerchief tied under her chin and held a little girl by the hand.  
(Petrescu 1958: 407)

Although mentioned for the first time (i.e. 'brand-new'), the little girl is presented in the ST as already familiar, while the translation uses an indefinite. Other instances of [-definite] shifting in the same translation are: "*Moale, se prăbușește în fotoliu [...]*" (Weakly, she falls into the armchair) → "Then she fell weakly into a chair" (and the verbal tense shifts from historical present to past narrative), and "*Pe lavița de la poarta de lemn [...]*" (On the bench near the wooden gate) → "[...] upon a bench by the wooden gate [...]"

### (9)

ST: Noi așteptam să fim duși printre munții negrii, prăpăstioși și goi pînă aproape de poale, în spatele frontului de lîngă Bitolia, de care ne despărțea mai puțin de o poștă și jumătate de drum, să săpăm tranșee. (Stancu 1984: 104)

Gloss: *We were waiting to be taken to the foot of the black, steep and barren mountains, behind the Bitolia front-line, to dig trenches.*

TT: We were waiting to be taken to some place at the foot of a steep, bare black mountain, not far from the Bitolia front-line, to dig trenches. (Stancu 1962: 96)

Readers might be aware that there were dark and barren mountains behind the Bitolia front-line (World War I), but ST readers are not necessarily more likely to be aware of it than TT readers. The front-line itself, however, is presupposed in both ST and TT. The addition of “some place” is extremely significant and shows that the [- definite] shift from “the black mountains” to “a black mountain” is not accidental: the fictional narrator is presented as knowing in the ST and unknowing in the translation. More precisely, in both original and translation the existence of mountains near the Bitolia front-line and the fact that they are steep, black and barren is known to the narrator, but the TT narrator ignores the exact destination of the convoy. Other [- definite] shifts in the same sample are: ‘[...] I found myself in the ditch full of the dry and yellow, mallow and unmown autumny grass near the embankment.’ → “[...] sent me flying into a ditch full of dry, yellow, ripe, unmown autumn grass”, and ‘The prisoners who had been brought from the Semendria fortress’ (relative clause involved in creating a presupposition, cf. Levinson 1983: 183) → “Prisoners had been brought from the Semendria fortress”, and others.

## (10)

ST: Când bătu ora opt, inspectorul intră în clasă, înaintea lui Belciug, care veni de-abia pe la nouă, cu urmele de zid pe haine. (Rebreanu 1980: 252)

Gloss: *At eight o'clock sharp, the inspector walked into the classroom, before Belciug, who only arrived at about nine, with the mortar stains on his clothes.*

TT: When the clock struck eight, the inspector walked into the classroom, before Father Belciug who arrived only at about nine with mortar stains on his clothes. (Rebreanu 1965: 345)

“*Urmele de zid*” (the mortar stains) conveys a claim of familiarity, as though ST readers had seen the priest walking about with his gown stained because he closely supervised the construction of the church, which was also the reason for his being late. The translation is more neutral in its use of the indefinite article to refer to an entity readers (of the TT and, for that matter, the ST) are not likely to have previous awareness of.



The examples analysed in this section mainly deal with [- definite] shifting in the corpus. In order to give a comprehensive perspective on the translations, we will now look at a number of counter-examples to the main trend.

### 5.2.1.2 Instances of [+ definite] shifts in the corpus

Our first example (11) is the title of a short story about bee-folds, good and bad beekeepers, about coming to age and facing life.

#### (11)

ST: Prisacă de altădată (Sadoveanu 1955: 297)

Gloss: Bee-fold from long ago

TT: The Old-time Bee-Fold (Sadoveanu 1958: 285)

Example (11) is the reverse of what we found in (2), where ‘The Seven Wooden Horns’ became *Seven Wooden Horns*. Here the target text readers are assumed to be in-the-know with respect to which particular bee-fold is being referred to. On the other hand, the use of the definite (rather than the indefinite) article in the title of a literary work is a convention of the genre, and indeed the indefinite reference in the ST title is quite unexpected and marked. A foreignising translation strategy would have involved preserving the unusual, marked ST form as a valuable feature in this text; removing markedness and using a conventional ‘repertoire’ is evidence of domestication and normalisation in translation.

#### (12)

ST: Dincolo de un șir de plopî, galbeni ca niște lumînări înalte și aprinse, pămîntul mușca lacom din marginea roșie a soarelui mic și rotund. (Stancu 1984: 104)

Gloss: *Beyond a row of poplars, yellow like some tall, burning candles, the earth was greedily biting the edge of the small and round sun.*

TT: Beyond the tops of the yellow poplars that rose up like tall lighted candles, the earth was biting greedily into the red rim of the small round sun. (Stancu 1969: 95)

The character-narrator of the story from which example (12) is taken is in a train heading towards the front-line, and has never before seen the scenery now unfolding in

front of his eyes. Consequently, the poplars mentioned are new to him, as they are to the readers. The [+ definite] shift from “*un șir de plopî*” (a row of poplars) to “*the [...]* poplars” in the translation is accompanied by a shift from a non-defining relative clause in the original (separated by a comma from the noun it accompanies) to a defining relative clause. However, the description of the poplars as rising up “like tall lighted candles” does not single them out from other poplars in the world to a degree which would justify the presence of a definite reference claiming awareness of the entities designated. Consequently, using a definite description (and hence presupposing), rather than an indefinite description, is evidence of the translator’s intervention in the text and of a selection between equally viable alternatives. In (9) we saw the reverse take place in the same chapter of the novel *A Gamble with Death* from which (12) is reproduced (*the* mountains → *a* mountain). Definiteness in TT (12) is conventional in fictional narrative, and is an invitation for readers to enter the fictional world. Its relevance for our analysis resides in the fact that it shows that this can be done in English, thus supporting our claim that [- definite] shifting in similar cases is not obligatory.

### 5.2.1.3 Discussion

Presuppositions can be used as ‘acts of provocation’ (Fawcett 1998: 120), or to guide readers (which can also be an act of power), ‘set them up’ and turn them into accomplices (Mey 2000: 346) and tell them what they should believe (Yule 1996b: 29), or to make potentially controversial information pass unnoticed or be taken for granted, hence projecting the communicator’s point of view onto the interlocutor (Simpson 1993: 136-7). All these considerations and several others, including accommodation and genre conventions, may be involved in shifting. Presuppositions position readers, or may show a narrator’s involvement with the narrative; the two uses are interrelated. The complexity of the situation is further increased in first person narratives by the existence of a fictional narrator.

The quantitative analysis (figures in 4.2) showed that there is considerably more shifting in the direction of [- definite] than [+ definite], which means that more existential presuppositions are removed from than added to the texts in the corpus, via translating. Starting from this finding, the analysis in 5.2.1 went on to suggest that the overall consequence of the [- definite] trend on the audience design of target texts involves



claiming less common ground with readers or less involvement of readers in the narrative, less complicity, and hence leads to psychological distancing (by comparison with STs) which is similar to the distancing created by the systematic use of distal deictics.

While this is the picture emerging overall in the translations from the corpus, it must also be noted that the situation is far from straightforward. Rather, shift patterns are complex and puzzling at times, especially because both [- definite] and [+ definite] shifts frequently occur within the same text and therefore translators appear to lack consistency, shifting in one direction, and then, a few lines later, in the other, without there being any obvious reason for doing so. Consequently, analysis had to proceed on the basis of individual examples or sets of examples, and each case had to be explored on its merit, rather than making generalisations. Only this way was it then possible to proceed to an investigation of the interaction of several shifts within a particular translation, their contribution to the audience design of the target text.

Writers have their assumptions about the world, and in particular about readers, the act of writing, or genre conventions. On the other hand, translators bring to the task their own creativity, and a set of assumptions which may on some occasions coincide with those of the writer while on others there can be considerable differences. This interplay of coincidences and differences may to an extent explain why certain presuppositions are shifted and others are not. However, the existence of a [- definite] trend in the corpus overall points to the fact that less is taken for granted in the translations in general compared to the source texts, although the extent to which shifting happens differs from one translator to another, as well as from one target text to another, and may also be linked to the frequency and type of existential presuppositions which are present in the ST in the first place.

### **5.2.2 Cultural presuppositions and audience design**

As has been pointed out in 5.2.1, most [- definite] shifts in the corpus are unlikely to be due to differences between the ST and TT audiences in terms of their awareness of the specific entities designated by either definite or indefinite reference, and that other issues are probably involved in shifting. We now focus on presuppositions which *can*

be linked to differences between source text and target text audiences in terms of assumptions about their awareness of certain historical, geographical, religious and custom-related issues which are mentioned in the original texts<sup>21</sup>, that is, cultural presuppositions.

The way in which cultural presuppositions are handled in translation is relevant for understanding audience design because they bring evidence which can help trace some of the translators' assumptions about what the readers are aware of, what they expect, what they need to be explicitly told or, on the other hand, left to work out on their own (e.g. considerations of relevance). The use of place names inevitably involves a number of judgements, as exemplified in (13) below and in the other examples in this section.

**(13)**

ST: In Alăutești, în nopțile de vreme rea, torcătoarele spuneau, înviind focul, că moș Călifar își vînduse sufletul satanei pentru nu știu cîte veacuri de viață [...]. (Galaction 1979: 160)

Gloss: *In Alăutești, in the nights of bad weather, the spinsters were saying, while raking the fire, that old Călifar had sold his soul to the devil in exchange for I don't know how many centuries of life [...].*

TT: In the village of Alăutești, in nights of foul weather, while spinning and raking the fire, women would tell that old man Califar had sold his soul to the devil for goodness only knew how many centuries of existence [...]. (Galaction 1981: 48).

This is the classic case of a translator supplying “information that is given in the source culture [and hence known to ST readers] and not in the target culture [hence unknown to TT readers]” (Hickey *et al.* 1993: 86, my additions). Or maybe not? The notion of something being somehow ‘available’ within a culture does not guarantee mass awareness. Some people may be aware of a certain entity or concept while many others are probably unaware of it. The fact that Alăutești is a village rather than a river or a mountain is a matter of local significance (although some Romanians may be able to link the suffix ‘-ești’ with names of villages, towns, and similar settlements) and ST readers’ awareness of this name can only be assumed, not taken for granted. The addition of ‘village’ in the translation is then more accurately explained as the result of a set of translator assumptions:

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<sup>21</sup> The list could continue but this would complicate analysis beyond the scope of the present research.



- that ‘the village’ is ‘cultural knowledge’ the original author expected readers to possess;
- that ST readers do fulfil this expectation;
- that TT readers cannot access this piece of information unless explicitly told, or that they can but would not bother to, and, finally;
- that the information is relevant and worthwhile supplying.

As can be noted, a number of the above-mentioned potential assumptions are, clearly, about target audience. Therefore, the translational act they lead to (in this case, explicitly supplying the information that Alăutești is a village) is part of the audience design in the translated text.

In the particular shift in (13) it is possible that, were the information that the place is a village not explicitly supplied in the TT at that point, it could still be recovered from the text because the name is associated with descriptive elements which could suggest a village. It is possible that the translator did not wish to take for granted that target readers would recognise the description of a Romanian village and preferred to be explicit; this may lessen the effort required to process the text. Source text readers, on the other hand, are left to recover this information either from their potential awareness of this particular village name, or from the ‘-ești’ suffix or, even more likely, by recognising in the story the elements of a traditional village. Previous experience of reading Romanian literature may also help (all of these would be part of a shared cognitive environment with the author).

Hickey *et al.* (1993) and Fawcett (1998) present examples in which supplying information which the original author presupposes but target readers are not likely to share seems required. Hickey *et al.* take for granted the notions of ‘given’ and ‘new information’ but Fawcett goes on to comment on the lack of precision of terms such as ‘presupposed cultural knowledge’ and argues that source text readers themselves may not be able to recover some presuppositions, while translators may equally miss part of them. He therefore concludes that “If we cannot be sure that the readership of the original possessed the presuppositions required to make sense of the text, then how can we begin to be sure to what extent the *target* audience is likely to share it?” (Fawcett, 1998: 121, italics in the original). Of course, this also raises a number of further problems, including the controversial nature of the assertion that some presuppositions are ‘required’ in order to make sense of the text, while others are not.

Interfering with ST presuppositions (e.g. by supplying information, by deleting presuppositions or, in some cases, by adding new presuppositions to the translation) is therefore a balancing act (Fawcett 1998: 121) based on assumptions and assumptions about assumptions. In other words, it is trying to keep the balance between patronising the audience by treating them as though they either did not know something or could not find it out (politeness considerations) and, on the other hand, not supplying significant context/information which would be relevant and needed if readers are to successfully recover the intended interpretation and if failure of communication is to be avoided (Sperber and Wilson 1986). In Sperber and Wilson's ostensive/inferential model, communicators offer clues about their intended meaning. Both producing and receiving are governed by judgements about responses (inferences) to these clues in terms of a search for relevance.

A similar shift to the one in (13) is from "the seven Buciums" to "the seven Bucium villages" (Stanca 1983: 267), which was reproduced in (3a) in 5.2.1.1. While in (13) there is a certain likelihood that not only ST but also TT readers might recover 'village' at some point in the text even without being explicitly told, in the case of the seven Buciums this connection is more blurred. In actual fact, a reading of the text in which Buciums are mountains or mountain peaks rather than villages is perfectly possible in the ST. Whether villages, mountains, or something else, if they are real-life places the Buciums are likely to be part of a local context rather than something which can reasonably be assumed to be part of the cognitive environment of most ST readers. Thus, we see an instance of the ST making assumptions about shared cognitive environment, which the translation does not.

Names of towns are less frequently shifted than names of villages. An example would be Bucharest, but because it is the capital of the country it is not so unexpected for a translator to assume target readers are aware of it. Of course, this is still an assumption, and, in actual fact, many non-Romanian readers would not know the name of the capital of Romania. The audience design here is, then, for a readership who knows that Bucharest is the capital.

Looking at instances of non-shifting which involve place names, it is interesting to note that not only Bucharest is left unchanged, but also names designating other towns (e.g.



Jassy), including small towns such as Abrud, Piatra and Dorna. On the other hand, the translator of *Prince Cuza* shifts from ‘Roman’ to “the town of Roman” (Sadoveanu 1983: 121), home town of the character-narrator, although the same translator does not supply any information about Liteni and Burdujeni (probably villages), which are mentioned when the journey to the Prince’s funeral is described. Possibly, the translator assumed it is not particularly relevant for the progression of the narrative whether the readers work out on their own or not what Liteni and Burdujeni are.

Example (14) is from a short story entitled *Șuer, the Whizzing Wind*. The story is about Kira, the wife of an outlaw, who one winter morning finds out that her husband was killed during an attack:

**(14)**

ST: Ușa colibei se deschide. Kira, într-o dulamă cu hărșii de vulpi, se repede înspre Cornul-Caprei și privește neclintită. (Delavrancea 1987: 28)

Gloss: *The door of the hut opens. Kira, in a fox-furred mantle, rushes towards Cornul-Caprei and gazes, stone still.*

TT: The door of the hut opened. Kira in a fox-furred mantled rushed towards the place called Cornul Caprei, gazing stone still. (Delavrancea 1983: 106)

In TT (14), the addition of “the place called Cornul Caprei” suggests that readers are not expected to know about it (but then ST readers are likely to be equally unaware, and the location may actually be imaginary). The claim of familiarity is thus removed without, in actual fact, supplying an informative comment about *Cornul-Caprei*. On the other hand, it is possible for a person who does not speak Romanian to read *Cornul-Caprei* as being a person, in which case the TT addition of “the place called” removes the danger of interpretation going astray at this point. The translation also shifts from present (‘opens’, ‘rushes’, ‘gazes’) to past tenses (‘opened’, ‘rushed’) and to the gerund ‘gazing’ (which does not add a distancing note in itself but contributes to the weakening of the closeness suggested in the original).

Further evidence comes from the novel *Gathering Clouds* (the R sub-corpus) and is reproduced in example (15), which is taken from a monologue in which a disillusioned young man talks about the time he spent in the army and the people he met there, mostly peasants recruited against their will.

(15)

ST: Nu-l cunoscusem decît vara, în vilegiatură [...]; un cioban la o stîină, unde ne-a prins o dată ploaia, pe Caraiman... (Petrescu 1984: 45)

Gloss: *I had only known him in summer, during holidays [...]; a shepherd in a sheepfold, where the rain once caught us, on Caraiman...*

TT: I had only come across him in summer, during the holidays [...]; a shepherd in a sheep-fold on Mount Caraiman, where we had been caught in a rain storm. (Petrescu 1957: 83)

The translator assumes that target text readers are not likely to be aware that Caraiman is a (fairly well-known) mountain in Romania, and supplies this information. In order for the extra effort/cost of supplying additional information to be worthwhile, the translator must have thought it relevant and/or expected by readers, or else consistent with what a translation should provide in order to compensate for the differences in context between source and target ends. Another mountain name in the corpus is Rarău: “[...] *oile trebuia să le neguțeze de la niște ciobani de pe Rarău.*” (Sadoveanu 1987: 103) (he was going to buy sheep from some shepherds on Rarău) shifts to “He was going to buy sheep from some shepherds on the Rarău mountain” (Sadoveanu 1983: 31); this example is from the translation in which ‘Dorna’ and ‘Piatra’ (names of towns) are not explained. While Caraiman and Rarău are accompanied in translation by ‘Mount’ and ‘mountain’, respectively, an equally well known Romanian mountain, Ceahlău, is dealt with differently (this example comes from the same TT as the Rarău example): “*un nour cătră Ceahlău*” (a cloud near Ceahlău) → “the cloud Ceahlău way” (Sadoveanu 1983: 21). The picture which emerges is, then, one of a series of individual assumptions which do not easily lend themselves to generalisations.

Various issues may be involved in shifting versus not shifting, and a prominent part is probably played by considerations of (assumed) relevance for readers. In any case, the translator has considerable freedom in this respect. No clear picture emerges from these shifts, and the approach appears (at least partly) inconsistent. An overall trend towards the explicitation of presuppositions seems, however, to be in operation in the corpus.

We now turn to presuppositions which involve Romanian history. Our first examples, (16) and (17), are from the short story *Prince Cuza*, which combines (first person) narrative fiction with reference to real people and events.



(16)

ST: Imi adusei aminte: în ziua aceea se sărbătorea pretutindeni în țară jumătate de veac de la *unire*. (Sadoveanu 1955: 485; italics in the original)

Gloss: *I remembered: that day half a century from the union was celebrated throughout the country.*

TT: A half century of the Union of the Principalities was that day being celebrated throughout the land. (Sadoveanu 1983: 120)

Presupposing versus giving information are not two opposite poles, but rather points on a continuum. In (16), the ST *unire* (union) is less informative and presupposes more than the TT “The Union of the Principalities” but, on the other hand, “of the Principalities” does not necessarily settle the issue because it triggers a new presupposition: which principalities? A further step could be to say ‘the union of the principalities Wallachia and Moldavia’. And this could go on indefinitely, because one might then wish to add ‘the union of the principalities Wallachia and Moldavia under the rule of Prince Cuza’, and perhaps continue by explaining how important this Prince and the union were in Romanian history. The latter information, it can be argued, is particularly relevant for anybody reading this short story (cf. Fawcett 1998: 121, “presuppositions required to make sense of the text”), and the fact that the word ‘union’ is in italics in the ST (for emphasis) is significant in this respect.

How much to say and how to say it are part of a balancing act not only between telling too much and telling too little, but also in the sense of not creating an unnecessary disruption and altering the rhetorical purpose of the text. Footnotes are an option but they may not be the optimal literary translation strategy because of “the kind of frustration experienced by people attempting to read an annotated classic” (Fawcett 1998: 121). Furthermore, on final analysis, it would still not be possible to supply target readers with the entire relevant context the translator may assume source text readers have access to. Consequently, the additional explicit information a translator supplies in the text can be regarded as a compromise between text, context, and assumptions about audience. The pressure of not disrupting the literary text is great and whatever extra information is added is usually kept to a minimum (as is the case in the translations from our corpus). Because of such pressures, whatever explicitation takes place in translating is even more significant for a study like the present one because it gives an

indication of the translators' assumptions about what it is that readers *most* need to know but do not. We also note, in (16), the deletion in translation of the first person self-reference 'I' (person deictic), which weakens the overtness of the dialogue between narrator and readers in this particular instance and adds to the distancing trend noted in example 6 (section 5.1.1).

(17)

ST: După ce-a murit, l-au pornit credincioșii lui spre țară ca să-l ducă la Ruginoasa...  
(Sadoveanu 1955: 491)

Gloss: *After he died, his faithful friends brought him to the country in order to take him to Ruginoasa...*

TT: When he was dead, his faithful friends had him brought back to this country, to his domain at Ruginoasa. (Sadoveanu 1983: 125)

It is doubtful whether the majority of ST readers are aware that Ruginoasa was the property of Cuza. Even within one's own language and culture, making assumptions about what is assumed to be the case and by whom can be guesswork. *Prince Cuza* was originally published in 1909, which is almost a century closer to the events than the present day. Besides, Sadoveanu was Moldavian, and Ruginoasa is in Moldavia. Audiences have changed and become broader than Sadoveanu probably envisaged. Almost one hundred years after the original publication, even Romanian readers are no longer Sadoveanu's addressees; their enthusiasm about Cuza and the Union has somewhat waned with the lapse of time. Translating the story for a foreign readership takes it even further away from its original environment, and one of the ways in which the translator here seems to be responding to such issues is by using explicitation (the addition of the proximal deictic 'this' in the translation has already been discussed in example (16) in section 5.1.2). In any case, we can safely assume that the selection of one rather than another option from the range of available alternatives is made "as much on the basis of the writer's [translator's] view of what the reader expects as on the basis of any characteristics we would attribute to the writer [translator] himself or herself" (Richardson 1998: 131, my additions).

Example (18) below is from the novel *Intunecare (Gathering Clouds)*, from which (15) was also reproduced. Both examples are taken from the same monologue about



Romania's decision to enter World War I and the consequences of this on the rural population, which is recruited to fight a war they are not interested in.

**(18)**

ST: Și trist e, dragă Radule, că vina e a noastră, a mea, a ta, a tuturor celor pe care-i vezi aici și care voim cu toții războiul! Nu mă îndoiesc că toți sîntem sinceri și că-l voim din toată inima. Nici nu mai putem admite că poate fi altfel!... Dar [...]. (Petrescu 1984: 47)

Gloss: *And the sad part, my dear Radu, is that the responsibility is ours, mine, yours, and all the people you see here and who all want the war! I do not doubt that we are all sincere and desire it with all our heart. We cannot even admit that it can be otherwise any longer!... But [...].*

TT: And the sad part of it is, my dear Radu, that we bear the responsibility for this, I, you and all these people you see here, who all want war. I have no doubt that we're all sincere and that we desire it with all our heart, in order to liberate Transylvania, the Maramureș and the Banat. We cannot even admit that it might be otherwise. But [...]. (Petrescu 1957: 86)

The addition of “in order to liberate Transylvania, the Maramureș and the Banat” shifts the illocutionary force from expressive to informative; the enumeration of three provinces arrests the flow of the text and gives the impression of switching the conversation between characters to a history lesson which is there for the benefit of the reader-auditor (according to Bell's categories of participants in a conversational encounter). Radu Comșa, who in the novel is the addressee of the monologue, does not need to have it explained to him why Romania wants to enter World War I. This is then an example of how wishing to supply as much context as possible may interfere with the flow of the text. ‘So that we can liberate our land’ would, perhaps, have been less disruptive, and more in line with the expressive nature of the communication; on the other hand, it is possible that the translator considered the information about the three provinces to be of sufficient relevance for readers to warrant disrupting the text in order to supply it.

Not being explicit in (18) about the reasons for Romania's involvement in the war might have, actually, generated in the target audience the idea that Romanians simply liked war in itself, and this would put them in a bad light (but there are other ostensive clues from the co-text which point to the interpretation readers are expected to recover, i.e. that the war has a just cause, although some such clues occur at a later stage in the novel). In any case, the translator does not take risks and is explicit about the fact that

the war is one of liberation - a word which carries a strong connotation of 'just cause'. Such an interpretation would then suggest that in (18) the translator is aware not just of what presuppositional information may be lacking in the target culture, but also what presuppositions may exist in that culture (i.e. there must be a just cause for one to engage in a war), which could influence the way in which the translation is read. An illustration of this can be found in Fawcett (1998: 122); he gives the example of an Inuit legend in which a word meaning 'skins from seals less than a year old' (which the Inuit was killing for food) is translated into 'sealskins' and speculates that the reason for the shift is to avoid the Inuit being perceived negatively by a Western audience which selectively sentimentalises animals.

References to customs, religion and other contextual information linked to a Romanian background are frequent in the corpus, and range from salient to hardly obvious. The analysis below refers to one such occurrence.

The *moți* are peasant inhabitants of the Western Transylvanian mountains, and it is precisely in those mountains that the setting of *Seven Wooden Horns* (see 2 and 3 in 5.2.1) is located.

### (19)

ST: Și omul urca de-a lungul firului de apă [...]. Moții umblă cu straița pe umăr, cu ciubere și fluier, de cum dau mugurii și pînă cade omătul. Dar moțul care trecea n-avea nici straiță, nici ciubere, ci numai fluierul din care zicea. (Stanca 1981: 102)

Gloss: *And the man was climbing up the stream [...]. The moți travel with their bag on the shoulder, with tubs and flutes, from as soon as buds appear and till snow falls. But the moț who was passing had neither bag nor tubs, but only the flute he was playing.*

TT: So the man went up the stream [...]. These mountain people, the "motzi", will walk the land, bags on their shoulders with tubs and pipes, from spring to snowfall. But the peasant that was climbing, this "motz" had neither bag nor tub, but just the pipe that he was fingering. (Stanca 1981: 267)

The translation supplies the information that the *moți* are mountain people, and that they are peasants, but not that they are Transylvanians. There is no indication in the translation either about the location of the narrative, or the historical background it is based on (see the example of "the calamity of the two battles" in 3b). Names of Transylvanian towns and villages appear towards the end of the ST and of the



translation (Cluj, Vint, Brad and so on) but why anyone who assumes the word *moț* to be unknown to a certain readership would assume that the same audience will be familiar with Transylvanian geography and history, is a comment on the complexity of the processes involved in translating. Or, if no assumption of the kind is made, then why is it considered relevant to explain *moț* and nothing else, in a short story full of historical references to people and events, in which context is so important?

In (19), the word “motz” features twice between inverted commas and accompanied by explanations, and it is peculiar that henceforth with each new appearance in the narrative it is still between inverted commas (“motz”, “the motz’ man”, “the ‘motz’ peasant”) in spite of the fact that it has already been explained. This is a distancing intrusion in the text which persistently emphasises the foreignness of the word and denies any possibility that target readers are or may wish to become familiar with it.

Example (20) is from the same translation as (15) (“Mount Caraiman”) and (18) (“in order to liberate Transylvania, the Maramureș and the Banat”).

## (20)

ST: Mihai găsi prilej să se răzbune. Ii șopti printre dinți, în ureche:

- Și pe tine numai popa de la Domnița Bălașa are să te domesticească, atunci când ți-o cânta pe nas *Isaiia dănțuiește!*... (Petrescu 1984: 9; italics in the original)

Gloss: *Mihai found an opportunity to take revenge. He whispered through his teeth, in her ear:*

*“And you, it will only be the priest from Domnița Bălașa who will tame you, when he sings at you Dance, Isaiah!...”*

TT: Mihai seized the opportunity of taking his revenge. He hissed through his teeth into her ear:

“As for you, it will be only Radu ‘le Bel’ who will break you in!” (Petrescu 1957: 23)

“*Isaiia dănțuiește...*” are the first words of a song which is part of the Orthodox marriage ceremony, perhaps the most widely known part of the service because it is a joyful song during which priest, bride and bridegroom, and godparents hold hands and circle three times the table on which Bible and cross are placed, a ceremony reminiscent of a dance. Mihai uses these words (in 20) as a synonym for getting married, meaning that only marriage can tame his cousin Luminița’s bad temper. The translation completely deletes Mihai’s reference to the Orthodox marriage ceremony and replaces it

with “Radu ‘le Bel’”, meaning Radu Comşa who is Luminiţa’s fiancé. The French words “le Bel” trade off one presupposition for another: instead of the assumption that readers are familiar with the Orthodox church they are now assumed to have some (elementary) knowledge of French, which may also help them infer that Radu is a man’s name rather than a woman’s. On the other hand, identifying the personage may be all that is required in the translation, but this is the first reference to Radu in the novel and brand-new information for readers, who will now need to process Mihai’s teasing words and infer the relationship between Luminiţa and the man named Radu.

Shifts take place in some instances, and not in others, resulting in an inconsistency which can only point to the translators’ freedom in making assumptions and changing them on an ongoing basis. In the short story *The Taking of Griviţa* (from the M sub-corpus) the names of several Romanian army regiments who fought the Turks in the war of Independence are mentioned; among them are the *dorobanţi* and *opincari*. In the translation they are italicised and one of them is explained in a footnote (*Opincari*: “Wearers of *opinci* (a sort of leather sandals worn by peasants) referring to those soldiers who were peasants”, Sadoveanu 1954: 86). The other however is not. Elsewhere in the corpus, *coliva* is explained in a footnote (“cake made of boiled corn, pounded nuts and sugar, that is offered in memory of the dead”, Sadoveanu 1958: 230) but *tzuica* (a traditional alcoholic drink obtained from plums) is italicised and left unexplained. In fact, italics are often used in the corpus for culture-bound Romanian words which do not have an obvious correspondent in English, and which are left unexplained.

Significant mismatches in cognitive environment can endanger communication; they are not restricted to translation, but are an obvious issue in translating, where differences of context become more salient due to the fact that two languages and cultures are involved. What contextual assumptions to supply in translation and how to supply them, what should be explicitly said and what can be taken for granted, are issues which relate to our investigation of audience design.

Most examples presented in this section are from the R sub-corpus. Less shifting involving cultural presuppositions is present in the M sub-corpus, and in the B sub-corpus the number is very low indeed. A foreignising translation strategy could account for the comparative absence of presupposition shifts in the B sub-corpus but evidence



from other areas would be required to support this claim<sup>22</sup>. It is also possible that translators themselves (native speakers of English) did not on occasion possess the awareness original authors presupposed readers would have, and hence were not able to supply additional clarification for the benefit of the target audience.

The fact that more additional information is given in translations into English produced by Romanian translators (in the R sub-corpus) may also stem from differences in how the task of translating is perceived. For instance, if translators take an interest in educating readers in facts of Romanian geography (or history, or traditional customs), thereby effecting a change in their cognitive environment, they may then seize the opportunity to supply information (such as the fact that Caraiman is a mountain, in example 15), provided it seems sufficiently relevant<sup>23</sup>. However, educating audiences may not always be on a translator's agenda. By ensuring that TT readers have access to similar cues of interpretation to those available to the original audience (i.e. by supplying extra context), or at least to as many as can reasonably be offered in view of genre constraints, translators also display concern with how their translation will be read and interpreted.

Finally, another reason behind shifts could be translator assumptions that readers expect them to make things explicit, and assumptions about what exactly should be made explicit (i.e. what is relevant for readers). Considerations of translation strategy, of relevance, a cost-benefit analysis of how much guidance (in view of processing ease and depth) readers should get or expect to get, may all be involved and can differ from translator to translator. In terms of politeness theory (Brown and Levinson 1987), the balancing act involved in translating presuppositions can be rephrased as an endeavour to preserve both negative face (saying too little means assuming common ground, but saying too much may seem patronising) and positive face (assuming common ground with readers claims solidarity, but saying too little may show lack of sensitivity towards their needs).

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<sup>22</sup> In fact, deictics and articles *do* support this claim, in that less shifting takes place in the B sub-corpus compared to the R and M sub-corpora along these parameters.

<sup>23</sup> Relevance may explain why Moldova and Prut are accompanied in translation by 'the banks of', to signal that they are rivers, while in another translation Peța, which is a tiny river of local significance, is merely mentioned by name - perhaps it was not considered important enough to warrant the effort of supplying additional information.

The overall trend in the corpus is towards explicitation, but in an inconsistent way: there are considerable differences in degree of shifting between texts (shifting is strongly dependent on the number and type of presuppositions in the original, but also on the particular translator), and the shifts themselves are unpredictable (i.e. which presuppositions are shifted or not shifted differs in each case, and there is no 'type' of presupposition which is more likely to be shifted than others). The opposite was the case with deictics and articles, where it is clear which type of parameter tends to be shifted, and in what direction.

### **5.2.3 Concluding remarks**

Shifts involving presuppositions triggered by definite reference (5.2.1), and cultural presuppositions (5.2.2), move in the direction of claiming less common ground with the target readership by comparison with source text readers, positioning the target audience as out-group members and, as it were, tracing boundaries. If we place this finding side by side with the tendency, in deictics, to position readers as being spatially, temporally, and in fact psychologically remote from the text, a coherent translational strategy appears to emerge in the corpus. This strategy involves the systematic introduction, in the translations in the corpus, of a distancing discourse which sets the communication on a substantially different basis compared to the original, changing things for the readers, while at the same time being actively shaped by the translators' assumptions about the readership which is being addressed. This is, then, evidence of the translators' initiative audience design.

### **5.3 Audience design: the textual dimension. Case studies**

The analysis in 5.1 was mainly concerned with deictic shifts, while the focus in 5.2 was on existential presupposition and on shifts involving cultural presupposition. Although every endeavour was made to ensure that the analysis crosses the boundaries of each individual parameter and points to the links between parameters of the same type and of different types, dealing with phenomena in separate sections carries an inherent degree of atomism which is further increased by the (inevitable) use of limited co-text to illustrate shifts. The approach adopted was, however, deemed necessary, in order to



avoid the confusion which would have ensued from dealing with all the phenomena under investigation at once. The limited use of co-text is largely linked with the necessity to strike a balance between the number of examples which are presented, and the space each of them can have within the overall analysis. In reality, only reproducing an entire short story or novel could provide the entire co-text of a shift, and present the entire network of other shifts which take place, but this is of course not feasible. On the other hand, limited co-text can also be revealing, especially when linked with other instances in the particular novel or short story under investigation. The procedure in this study is, however, to move from the simple to the more complex, and to use the insights afforded by the analysis of individual occurrences and clusters of occurrences of shifts in order to then proceed to investigate longer text units. After all, it is at the textual level that individual shifts and sets of shifts are put into perspective, and the overall audience design of a translation can be expected to manifest itself in its entire complexity.

Two case studies are used, and they explore the discourse dimension of audience design. The first of them (5.3.1) is the analysis of a sub-chapter from the novel *Un om între oameni* (*A Man amongst Men*); the second analysis (5.3.2) explores the audience design of the short story *Fefelega*, and a discussion of the findings and partial conclusions are presented in 5.3.3.

### **5.3.1 Audience design in *A Man amongst Men***

The first case study reproduces almost an entire sub-chapter (a distinct section within a chapter, which has a title of its own) from Book II, Volume I, of the novel *A Man amongst Men* by Camil Petrescu. The length of this sub-chapter in the ST is 651 words, with the translation reaching a significantly longer 801 words. In the corpus the novel is in the R sub-corpus.

Designed to be a grand epic of the events leading to the 1848 Revolution in Wallachia and, most notably, an account of Nicolae Bălcescu's life (leader in the Revolution and famous historian), the book was first published in Romanian in 1953 and the original title is *Un om între oameni*. The present analysis uses the 1982 edition. The topic (the fight of the Romanian people against aristocracy and towards an ideal of happiness for

all) and the character (a prominent figure embodying the glorious Romanian past) were very dear to the Communist regime (which also explains the massive production of patriotic films based on the lives of various historical figures such as Stephen the Great or Michael the Brave). The translator is Eugenia Farca who, by the time of her death in the early 1990s, had translated an impressive number of Romanian novels and short stories into English. Three other translations by her are included in the corpus: *Evening Tales*, *The Golden Bough*, and *The Hatchet* (for a discussion of translator style see 6.3 below). *A Man amongst Men* was published in 1958 by the Foreign Languages Publishing House, Bucharest.

In the novel, young Nicolae Bălcescu is arrested and imprisoned in the aftermath of a failed coup d'état which aimed to overthrow Alexandru Ghica's reign. His participation in the plot brings misfortune to his family, particularly his mother Zinca and his sister Tița. The latter is engaged to a young man who now decides that marrying the sister of a political convict could jeopardise his military career and his ambition for attaining higher nobility rank. In the sub-chapter '*Un logodnic poltron*' (A cowardly fiancé) the bridegroom's father pays a visit to the bride's mother, announcing that the wedding must be called off. The underlined text in the ST, Gloss, and TT are instances of shifts; bold is used in the ST to signal text which does not appear in the translation, while bold in the translation signals extra text which the translator introduces in the TT.

**ST:** Un logodnic poltron

S-a pornit un viscol cumplit încă din noaptea Sfântului Andrei. Și așa a ținut aproape toată săptămîna. Acum, spre seară, în ajun de Sfintu Nicolae, a stat viforul, dar cerul e tot înnourat și încă nu s-a pornit gerul. Acoperișurile joase ale caselor sunt,  aici  în mahalaua Visarionului, tot atît de troienite ca și ulițele. Lumea a stat tot timpul închisă în antreu, numai cei cu rosturi hotărîte au înfruntat siliturgia de afară. Acum e o liniște fără seamăn și totul e nesfîrșit de alb, ca într-un vis. Singurele semne de viață sunt hornurile caselor, care înalță fuoare groase, negre, de fum, căci toate sobele duduie. Bărbații au ieșit cu lopețile să facă pîrtii spre poartă, pînă în mijlocul uliței; unii, din căsuțele lor mici, abia au răzbit din tindă, căci zăpada era pînă la streășină.

La Zinca Bălcescu acasă, ajunul Sfântului Nicolae e, în anul acesta 1842, trist ca o zi de doliu. Amintirea vremurilor luminoase de altădată, cînd pînă tîrziu seara serdăreasa pregătea plăcintele și fripturile pentru ziua lui Nicolache, o topește de durere.



**Iată** că a oprit la poartă o sanie mică de fier și piele lăcuită, cu caii cu zurgălăi la gât și moțuri roșii prinse de căpăstru în frunte. Sunt doi murgi cu coamele gătite și au peste trupuri, de la jumătatea spinării și pînă la capra saniei, valtrapuri largi de plase de sfoară albăstrie, care împiedică zăpada să sară din copite în cei din sanie.

A coborît medelnicerul Staicu Nedelescu, care a cerut să vorbească numai cu Zinca, între patru ochi. L-a poftit atunci în odaia de musafiri, cerîndu-și iertare că nu e foc... ca să facă puțină economie de lemne.

[...] In timpul acesta a intrat Tița, care, după atîtea amînări ale nunții, văzuse bănuitoare această vizită și acum, din prag, ascultă uimită, zdrobită.

- Eu socotesc că e mai bine pentru amîndoi tinerii să se despartă înainte de nuntă decît să se nenorocească unul pe altul.

Zinca își vede fata gata să se prăbușească, aleargă, o prinde în brațe.

- Fetița mamei... fetița mamei...

Dar cu o tărie deznădăjduită, Tița întreabă, sfîrșită și parcă liniștită:

- De ce n-a venit el să-mi spună asta?

[...] Nu mai poate să lupte și începe să plîngă fără nici o mișcare.

Bătrînul Staicu Nedelescu pune verigheta pe masă, morfolind un soi de explicație fără vorbe.

Tița se frînge din nou, privind verigheta înapoiată. Scoate apoi încet de pe deget cealaltă verighetă, dată de el, o privește îndurerată și o pune pe masă. Moale, se prăbușește în fotoliu, subt ochii mamei ei. Bătrînul, în caftan verde, îmblănit, ia în grabă verigheta, bîfîie din mîini și din cap, încurcat.

- Imi pare nespus de rău... dar fiul meu nu putea să-și brizeze cariera... și iese țeapăn, după ce a salutat în pripă. (Petrescu 1982: 379-81)

**Gloss:** *A Cowardly Fiancé*

*A fearful blizzard started on St. Andrew's night. And so it lasted for the whole week. Now, towards evening, in the Eve of St. Nicholas's day, the blizzard has stopped but the sky is still cloudy and frost has not set in yet. The low roofs of the houses are, here in the Visarion suburb, as snowed up as the streets. People have spent all the time indoors, only those with pressing business have had to face the fearful weather outside. Now there is an unusual silence and everything is endlessly white, as in a dream. The only signs of life are the chimneys, from which thick, black columns of smoke rise, because all the stoves are in use. The men have gone outside with their shovels to clear paths to the gate, to the middle of the road; some, from their small houses, have hardly managed to reach the verandah, because the snow was high to the roof.*

*At Zinca Bălcescu's house, the eve of Saint Nicholas is, in this year 1842, sad like a day of mourning. The memory of the happy times in the past, when until late in the evening the cavalry commander's lady was preparing the pies and roasts for Nicolache's day, melts her in pain.*

*Look/now/here is/presently a small sledge made of iron and varnished leather, with the horses with bells at their necks and red ribbons tied to harness on their forehead has stopped at the gate. They are two bays with plaited manes and have on their bodies, from their mid-back and up to the sledge box, large nettings of bluish cord, which stop the snow from being kicked by hooves into the people in the sledge.*

*Medelnicer Staicu Nedelescu got off, and asked to speak to Zinca alone, in a private interview. She then invited him into the guest room, apologising that there is no fire... so that she could economise a bit on fire wood.*

*[...] During this time Tița entered, who, after so much postponing of the wedding, was suspicious of this visit and now, on the threshold, is listening amazed, shattered.*

*"I reckon that it is better for both young people to part before the wedding rather than bring misfortune to each other."*

*Zinca sees her daughter on the verge of falling, rushes, catches her in her arms.*

*"Mother's little girl... mother's little girl..."*

*But with a desperate strength, Tița asks, exhausted and apparently calm:*

*"Why didn't he come to tell this to me?"*

*[...] She cannot fight any more and starts weeping without making any gesture.*

*Old Staicu Nedelescu puts the engagement ring on the table, mumbling a kind of speechless explanation.*

*Tița is again shattered, looking at the returned engagement ring. She then slowly takes off her finger the other engagement ring, given by him, looks at it in sorrow and puts it on the table. Weak, she collapses in the armchair, under her mother's eyes. The old man, in green fur-lined mantle, takes the ring hastily, shakes his arms and head, embarrassed.*

*"I am awfully sorry... but my son could not have destroyed his career..." and goes out stiffly, after having greeted hurriedly.*

## **TT:** The Cowardly Act of One Who Was Betrothed

A fearful blizzard had started on the Eve of St. Andrew's and continued for nearly a week. It was now St. Nicholas's Eve. The blizzard had subsided but the sky was still cloudy and the weather was not yet set for frost. Houses in the Visarion suburb were snowed up almost to their low roof tops and the streets were blocked. Nearly everyone kept indoors, only those with most pressing business faced the severe weather outside. For a long space there was boundless



silence, the whole scenery shrouded in white creating a dream landscape. The only signs of life were given by the chimneys from which rose thick, black columns of smoke, for the fires were roaring in the stoves. Whenever they could, men came out with their shovels to clear a path to the gate and to the middle of the road, but the snow often remained where it was, piled up to the very eaves of the little cottages.

At Zinca Bălcescu's home, this Eve of St. Nicholas, in the year 1842, was as dreary as a day of mourning. The memory of the other festive days of St. Nicholas which had been so bright, when she had **so gaily** prepared the pies and roast meats **for the occasion**, sorely grieved her.

A small iron sledge with patent leather fittings, horses with bells round their neck and red ribbons tied to the halter over their heads, drew up at the gate. The horses were bays with plaited manes, and with a wide netting of bluish cord stretched from their rumps to the sledge box, to prevent the snow being kicked into the sledge.

From the sledge descended Medelnicer Staicu Nedelescu, asking for a private interview with Zinca. She showed him into the drawing-room, excusing herself that there was no fire... as she had to economize a little on wood.

[...] Sevastița had entered the room. Seeing that the wedding had been postponed so often, she had anticipated this visit and now stood listening on the threshold, **her whole being shattered by what she had heard**.

**The man went on:** "It is better for the two young people to part before the wedding than to make one another unhappy **after it**."

**The mother was no longer listening.** Observing her daughter on the point of falling, she rushed to catch her in her arms.

**As she caressed her and called her fond names** – "Mother's **darling**... mother's little girl", **Sevastița seemed to rally**.

**Suppressing her despair with all the strength of her being**, she **finally** asked quietly **but with inexpressible bitterness:**

"Why didn't he come to tell me himself?"

[...] **Then**, no longer able to **restrain her tears**, she gave way to quiet weeping.

Mumbling some kind of an excuse, old Staicu Nedelescu laid the ring on the table, **the sight of which** again tore at **the poor girl's heart**. Slowly she took her own ring from her finger, the ring he had given her, looked at it in sorrow and laid it on the table. Then she fell weakly into a chair, before the eyes of her **helpless** mother. The old man in the green, fur-lined coat picked up the ring hurriedly, shook his head in embarrassment, **made some vague gestures** with his hands, **then remarked:**

"I'm very sorry... but my son could not ruin his career..." And **with that** he went stiffly out of the room after **some sort of** hurried leave-taking. (Petrescu 1958: 398-400; italics in the original)

As in the rest of the novel, the predominant verbal tense in the ST narrative is the (historical) present, employed to an extent which can hardly fail to be considered unusual in Romanian, even though Romanian is a Romance language and Romance languages in general make more use of the historical present than English fictional narrative does (e.g. see Richardson 1998: 133, for Spanish). As can be seen in the Gloss, the series ‘has stopped’, ‘is cloudy’, ‘has not set in’, ‘are snowed up’, ‘have spent’, ‘have had to face’, ‘is’, ‘is white’, ‘are the chimneys’, ‘rise’, ‘are in use’, ‘have gone’, ‘have managed’, ‘is sad’, ‘melts’, ‘has stopped’, ‘are two bays’, ‘have’, ‘is listening’, ‘sees’, ‘asks’, ‘puts’, ‘is shattered’, ‘takes off’, ‘looks’, ‘puts’, ‘collapses’, ‘takes’, ‘shakes’ and ‘goes out’ solidly anchors the past narrative into a present tense framework which is reinforced by deictic proximals such as ‘*acum*’ (now), which is twice used in the opening paragraph of the original text and then is taken up again later by “*în anul acesta 1842*” (in this year 1842) and “*In timpul acesta*” (during this time), all of which are instances of deictic projection. Spatial anchorage of the narrative is achieved via the proximal adverb “*aici, în mahalaua Visarionului*” (here, in the Visarion suburb). A proximal demonstrative (‘*asta*’, that is, ‘this’) is used by Tița to refer to the news she has just received.

The graphic description of the quiet winter scenery is, in the original, in obvious contrast to the dynamism and implicitness of the narration in the second half of the sub-chapter. The interjection ‘*Iată*’ is similar to ‘*voici*’ in French, and can best be approximated as ‘look!’ or ‘here is’, but with additional emphasis on ‘now’ or ‘presently’; this interjection signposts, in the ST, the abrupt transition from description to narration. As the narrative starts events take place in quick succession. The arrival of the sledge, Staicu Nedeleșcu’s entrance, his private conversation with Zinca, and especially Tița’s reaction to the bad news, are dynamically presented (brief clauses, and verbs in the present tense), with little extra comment: “Zinca sees her daughter on the verge of falling, rushes, catches her in her arms” (see the gloss above) is a good example in this respect. The implicitness of the narrative is further increased by the relative absence of junctives pointing to the nature of the relationship between sentences, and the fact that twice out of the four times when a character speaks, it is not explicitly indicated who spoke. Readers are left to supply the missing links by themselves.



In the translated text, a past tense temporal framework is used: ‘had subsided’, ‘was cloudy’, ‘was not set’, ‘were snowed up’, ‘were blocked’, ‘kept indoors’, ‘faced’, ‘was’, ‘were given’, ‘rose’, ‘were roaring’, ‘came out’ (in the descriptive passage) and ‘was dreary’, ‘grieved’, ‘drew up’, ‘to prevent’, ‘stood’, ‘observing’ (the gerund does not in itself create distance, but supports the effect of the past and past perfect tenses which are used in this passage), ‘rushed’, ‘to catch’, ‘asked’, ‘laid’, ‘tore’, ‘took’, ‘looked’, ‘laid’, ‘picked up’, ‘shook’ and ‘went out’ (in the narrative passage). There are two instances of deictic projection via the proximal adverb ‘now’ and the adverbial phrase ‘this Eve of St. Nicholas’, but their strength is greatly reduced by the compact past framework surrounding them. The narrative passage employs frequent explicitation (e.g. “shattered by what she had heard”, “The man went on”, “The mother was no longer listening”, “then remarked”) which slows down the rhythm of the narrative thereby bringing it closer to that of the initial descriptive passage. Readers are, as it were, taken by the hand as distant observers and explicitly told, in detail, about the actions accompanying the characters’ dialogue, as well as the feelings behind words and gestures.

Comparing the original with the TT, a number of shifts are easily observed, most notably the shift of the entire verbal tense framework from present to past. The shift in verbal tenses triggers a chain reaction, as adverbs are shifted to match the tenses. The first proximal adverb in the sub-chapter, ‘*acum*’ (now), is translated as such, but when the ST repeats it, the translation replaces it with the neutral ‘for a long space’. Another proximal adverbial, ‘*In timpul acesta*’ (during this time) is removed from the translation, as well as the proximal spatial adverb ‘*aici*’ (here) and the demonstrative ‘*asta*’ (this). “[...] *ajunul Sfintului Nicolae e, în anul acesta 1842, trist ca o zi de doliu* [...]” (the eve of Saint Nicholas is, in this year 1842, sad like a day of mourning) shifts to “this Eve of St. Nicholas, in the year 1842, was as dreary as a day of mourning”, which still employs a proximal adverbial (and thereby deictic projection) but in a different way compared to the ST. The proximal in ‘*această vizită*’ (this visit) is present in the translation.

Deictics exist in networks or clusters, where individual features are part of the deictic system which contributes to the positioning of the narrator and, implicitly, is an invitation for the readers to position themselves in a certain way rather than another. The common orientation of deictic shifts in the TT here is to project the story further

into the past, and away from a psychological present which would suggest increased relevance for the readers. By comparison, in the original text the narrative voice is more anchored in the 'here' (in the Visarion suburb) and 'now' (this December evening) of the events. It appears, however, that the difference between the original text and its translation is a matter of degree, not one of essence, as the appeal to (emotional) involvement is toned down rather than completely rooted out.

Let us now look at shifts other than deictic, in our sample from *Un om între oameni*. There are various existential presuppositions in the original text, mostly shared by the target text, e.g. the fact that Zinca's house had a guest room, that Staicu Nedeleescu had a ring with him, that there was a table in the room. None of these is 'brand-new' information, to use Prince's (1981) term; they are either inferrable (i.e. breaking an engagement means that rings must be returned) or are 'stereotypical assumptions' (i.e. the house of a reasonably wealthy person has a guest room, and there are tables in rooms). The one existential presupposition which is not present in the translation, or, at least, not to the same degree, is '*în fotoliu*' (in the armchair). The definite article here suggests that not only is there an armchair in the room (which, although mentioned for the first time in the narrative, could still be 'inferrable' as it involves a 'stereotypic assumption') but that either there is just one armchair in the room (the number is not 'inferrable'), or that *Tița* collapses into a particular armchair which could be manifest only to somebody present at the scene, or somebody who has insider awareness of events or Zinca's house.

Cultural presuppositions which are shifted include "*pentru ziua lui Nicolache*" (for Nicolache's day), meaning his name day, celebrated on St. Nicholas's Day, rendered in the translation as "festive days of St. Nicholas" – which preserves the presupposition that such a festivity exists but removes the presupposition that name days are celebrated. The word '*serdăreasa*', which is an old title which would nowadays translate as 'the cavalry commander' and which, because of the feminine ending '*a*' actually refers to the wife of the cavalry commander, is here omitted from the translation, and 'she' is used instead (note that the title does appear elsewhere in the TT, e.g. in 'the *serdar*'s lady'). '*Medelnicer*', another old title, appears in its Romanian form in the translation, except for the fact that it is presented in italics to signal its foreignness.



There is one instance of interpersonal address in the source text, in the use of *'Iată'*, which, from a rhetorical point of view, signals the transition from description to narrative. Its paragraph-initial position is in concordance with its signposting and attention-drawing role. No equivalent for *'iată'* features at this point in the translation, and this facilitates the levelling out of the contrast between description and narration which is operated by the shift of the temporal framework (discussed above) and by massive explicitation in the narrative, in translation.

The translator frequently intervenes in the text, adds comments and supplies a personal interpretation of events, especially in the emotion-charged scene which involves mother and daughter on the one side, and the bridegroom's father on the other. The extent to which this happens is such that entire sentences are added on occasion (e.g. "**The mother was no longer listening.**", "**As she caressed her and called her fond names [...], Sevastița seemed to rally.**"), while comments and explanations are extremely frequent in this sample, and indeed in the entire translated novel. Thus, in the translation, Zinca prepares the food "**so gaily**", the sight of the ring tears at the "**poor girl's heart**" and she collapses in front of her "**helpless**" mother (all of these are instances of appraisal in translation).

Extra-scenic instructions feature in the translation, lessening the need for the readers to supply missing links, and in fact reducing their liberty to form a personal opinion of how exactly things happened: Sevastița is shattered "**by what she had heard**", Nedelescu's repartee is preceded by "**The man went on: [...]**" ("the man" here expresses a distancing, negative stance), Zinca rushes to hold her daughter who is collapsing, but not before the translator's comment that "**The mother was no longer listening.**", and followed by the comment that "**Sevastița seemed to rally**". She "**finally**" asks her question, and "**then**" cannot restrain her tears, the man "**then remarked**" and "**with that**" he goes out of the room. The young woman does not speak with what appears to be a calm acceptance, as she does in the original, but with "**inexpressible bitterness**" (again translator appraisal). Also interesting to note is that, rather than using the familiar name *Tița*, the translation goes for the more formal (and therefore distant) *Sevastița*. It is not certain, however, to what extent target readers might be expected to be aware of the pragmatics of using one name rather than the other.

In conclusion, explicitation is used so extensively here that it clearly introduces an element of redundancy in the text (Blum-Kulka 1986), and is evidence of the process of interpretation performed by the translator on the source text (Laviosa-Braithwaite 1996: 154). The difference in length between TT and the original (801 words, compared to 651) could largely be due to explicitation in translating, but further research into the relationship between the length of source versus target texts is needed before stating this with confidence, as other reasons could also be involved (i.e. features of the particular languages involved, and text/genre conventions).

Verbal tenses, adverbials and demonstratives concur in deleting the original deictic projection, clearly moving the narration away from translator and readers, and re-locating the deictic centre in such a way that distance (between readers and events/characters/emotions or ideas expressed), rather than proximity, is expected to be the case. Explicitation reduces the need for readers to make inferences, to get involved by supplying missing links, and positions them as needing to be taken by the hand and given more explanations than ST readers. Finally, the partial levelling out in the TT of the source text contrast between graphic description and the dynamism and implicitness of the central event indicates a preference for conventionality, which can again be considered to be a clue to what the translator assumes readers would prefer.

However, it is not only readership, but also wider considerations of socio-historic environment, patterns of cultural interaction and literary hierarchies which are likely to influence a translator (Lefevere 1990). Distancing may suggest under-confidence, which can be linked to translating from a 'minor' literature (such as Romanian) which occupies a marginal position in the literary polysystem, especially given that the target language and culture (Anglo-American) happens to be in a position of hegemonic dominance in the polysystem and is notoriously wary of translations (Venuti 1995).



### 5.3.2 Audience design in *Fefelega*

We now turn to the short story *Fefelega*, by I. Agârbiceanu (also see examples 7 and 14, in 5.1.1). The source text is written in a literary style with reminiscences of regional (Transylvanian) speech, and has an archaic feel to it which is probably accounted for by the fact that the story was originally published almost a century ago, in 1908. In a sense, the language which is used self-selects a special type of audience, contemporary to the author and able to relate to the Romanian rural setting.

The quantitative analysis (see 4.1.3 and 4.2.3) showed that a distancing trend takes place in the translation of this short story in demonstratives (15 [+ distance] shifts compared to 10 [- distance] shifts), but not in adverbs (7 [+ distance] adverb shifts compared to the slightly higher 9 [- distance] shifts). As for articles, there is a tendency to shift towards [- definite], but the trend is not very strong (9 [- definite] shifts versus 5 [+ definite] shifts) compared to other samples. On the basis of quantitative evidence it is reasonable to suggest that *Fefelega* is not an exception to the overall distancing trend in the corpus, but that it illustrates a weaker version of the trend.

The story starts in an overtly interactive manner, by directly addressing the reader “*Dis-de-dimineată o vezi pe drum*” (Gloss: Early in the morning you see her on the road), and by projecting the events into the present; in fact, the historical present is used in the first part of the story and gently gives way to past tense when previous events in the main character’s life are recounted. Deictic projection (via proximal demonstratives and adverbs) is amply used (e.g. “*Acum femeia simțea că singurul sprijin ce-i mai rămăsese era calul ăsta mare*”, Gloss: Now the woman felt that the only support she was left with was this big horse), especially during particularly dramatic events in the story, such as Maria’s being left a widow, and the death of her last child. There is also a significant number of distal deictics in *Fefelega*, and the dynamic interplay of proximals and distals brings about a frequent shift of perspective as people, issues, or events are in turn designated by proximals or by distals (individual cases are analysed in the examples below). The way in which proximals and distals are used is linked to the intense inner life of the character.

In the translated text, regional or archaic language is normalised into literary English, with the exception of some italicised Romanian words (e.g. *cruceri*, *zloti*) which remind

the reader that the text is a translation. The extensive use of the historical present in the first part of the story, which creates a contrast with the past which is used in the rest of the narrative, is evidence of a creative approach to style in this translation (compare with the text in 5.3.1, where the translator systematically shifts from historical present to past tense). Readers are directly addressed in the first sentence (“Early in the morning you can see her on the road”) and such address also appears at later stages in the story. Both proximal and distal deictics are frequent and, as in the source text, whether suggesting distancing or closeness, they are usually employed to signal the dynamic inner life of the character as she assesses her life and her involvement (which can be love, tenderness, or hatred) with the people surrounding her.

If we compare the original text and the translation, an overall tendency can be noted towards explicitation, which manifests itself in a variety of ways ranging from relatively minor changes (e.g. the insertion of an extra word such as a junctive) to more obvious ones (e.g. entire sentences, such as “[...] she had worked gladly! For them: first for five of them, then for four, then for three, for two, and in the end for one. **The void in her soul had gaped wider with each one that had died, but her will to work did not weaken**”, Agîrbiceanu 1971: 158).

As far as deixis and presupposition are concerned, both quantitative analysis (which could merely show that there are slightly more [+ distancing] and [- definite] shifts compared to [- distancing] and [+ definite] shifts), and the qualitative analysis of the translation, fail to supply a straightforward explanation for shifts from the perspective of audience design. While shifts take place frequently, the proportion of proximals and distals, as well as that of definite and indefinite articles, remains roughly the same. It was initially hoped that analysis would reveal some patterns with respect to what is shifted and what is not, and the way in which shifts re-shape the text, but the process seems to be less clear-cut than in 5.3.1, for instance. On the other hand, the fact that the translation here presents a less clear case of distancing can be used to enrich our perspective of how the model for analysis works for various texts. Perhaps the difficulties involved in interpreting the shifts do not point to a lack of audience design in *Fefelega*, but to a different type of design compared to some other translations in the corpus. After all, audience design can involve phenomena other than distancing.



Reproducing the entire story would have been impractical here and therefore a number of excerpts are given to illustrate the analysis, and every attempt will be made to analyse examples against the background of the overall picture they belong to - rather than as isolated occurrences. Shifts are underlined in the text, while additions to the translation or, on the contrary, omissions of ST, are presented in bold. Excerpts are presented in the order in which they appear in the story. Our first example describes the way Maria-Fefelega, the main character, relates to the people around her, at the time when her husband has died and she is left to bring up the children on her own.

(1)

ST: De când și-a închis Dinu ochii [...] de-atunci a simțit că nu oamenii aceia care vor veni să vadă pe mort îi vor fi sprijin de-acum înainte, ci calul acela mare, alb, care sta legat de-un pociumb [...]. (Agârbiceanu 1979: 285)

Gloss: *When Dinu closed his eyes [...], since then did she feel that not those people who would come to see the dead would be her support from now on, but that big, white horse, which was tethered to a peg [...].*

TT: Ever since Dinu had closed his eyes [...] she had felt that henceforth she would rely not on the people who came to pay their respects to the dead, but on that big white horse, tethered to the gate-post [...]. (Agârbiceanu 1971: 152)

Several shifts take place in (1), but we would like to focus on the shift from ‘oamenii aceia’ (those people) to ‘the people’. This shift seems to run counter to the [+ distancing] trend in the corpus, but in fact this is not necessarily the case. The ST distal demonstrative ‘aceia’ (those) can be construed as expressing Fefelega’s emotional reaction and bitterness towards the villagers who, she feels, should care about her but do not - and thus, in this case, distancing actually signals a kind of negative involvement. It is possible that a definite article (the people), rather than distal demonstrative, is used in the translation because the translator does not share, on this occasion, Fefelega’s feelings towards the villagers, and distances himself from her passionate (and not always fair) view of humankind.

Other shifts involve the deletion of the marked second term in “*De când ... de-atunci*” (When... since then). An instance of explicitation in translation (possibly related to cultural presupposition) is in “*vor veni să vadă pe mort*” (would come to see the dead) translated as “came to pay their respects to the dead”, and there is a [+ definite] shift

from '*un pociumb*' (a peg) to '*the gate-post*'. This is not a clear case of approximating either, because the gate-post belongs to the category of Inferrables (in Prince's 1981 framework) and has a lesser complicity-seeking potential by comparison with entities which the text could assume readers to be familiar with but without their being actually likely to infer them, or entertain as Stereotypic Assumptions (Prince 1981: 242).

A similar example to the one in (1) is in (2) below, which presents an instance of approximating shift. Some people in the village advise Maria to remarry, a suggestion she reacts against with hostility, as can be seen in (2) below.

**(2)**

ST: Și privea cu dușmănie la oamenii *acea*, care numai din bunăvoință o sfătuiseră așa. (Agârbiceanu 1979: 286)

Gloss: *And she glanced with hostility at those people, who had thus advised her only out of good-will.*

TT: [...] with a hostile glance at these well-meaning people. (Agârbiceanu 1971: 153)

A distal demonstrative (*acea* - those) is used in the original text to refer to the villagers who gave the advice, and this is in keeping with Fefelega's negative attitude towards them: distancing deixis here reflects her standpoint and view of other people. The translation replaces the distal by a proximal (these), which preserves the involvement suggested by the ST demonstrative but turns it into a more positive attitude, by introducing an element of closeness which is not inconsistent with the [- distancing] shift in (1). It is possible to interpret the shift as an instance of the translator's personal interpretation of the ST being reflected in the translation: in the original, it is implied that villagers (those people) are not sincerely concerned about Maria, and do not really wish her well, but in the translation there is a hint of Maria being perhaps too bitter towards people who, while not helping her a great deal, can still display a polite concern for her. In this interpretation, the proximal 'these' in conjunction with the positive adjective 'well-meaning' somewhat softens the harshness of her reply, and may express the translator's solidarity with the villagers rather than with Fefelega and the original writer, on this occasion.

It is, of course, not always the case that the translation alters the ST balance of proximals and distals. A significant example of non-shifting can be found in the



opening paragraph of the story; it describes the daily routine of the protagonist, Maria - Fefelega, who earns her living by carrying stone out of which her employers extract gold.

(3)

ST: Dis-de-dimineată o vezi pe drum, tîrîndu-și calul de căpăstru. Femeia e înaltă, uscată, cu obrajii stricați de vărsat, arși e soare și de vînt. Pășește larg, tropotind cu cizmele tari, pline de umflături uscate. (Agârbiceanu 1979: 282)

Gloss: *Early in the morning you see her on the road, dragging her horse by the bridle. The woman is tall, bony, with pock-marked cheeks burned by the sun and by the wind. She takes long strides, tramping noisily with the hard boots, full of dry lumps.*

TT: Early in the morning you can see her on the road, **leading – or rather dragging** her horse by the bridle. She is a tall, bony woman: her pock-marked cheeks are deeply tanned by sun and wind. She takes long strides: her hard top-boots, which are covered with dry lumps, tramp noisily. (Agârbiceanu 1971: 149)

Both ST and the translation start by using a present tense framework (verbs in the present tense have been underlined in the excerpt above), with the translation actually using more finite verb forms and, consequently, more present tenses compared to the original (can, is, are, takes, are, tramp). The proximity to events and the character which is thus suggested is further reinforced by the use of person deixis ('you') to address the reader. A first difference between original and the translation, however, appears when the latter uses "you can see her on the road" compared to the ST "o vezi pe drum" (you see her on the road). This reduces the degree of involvement which is projected, because 'you see' implies that the seeing actually takes place, whereas 'you can see' means that it is possible for you to see but is not necessarily the case. More distancing would have taken place if, say, 'one' had been used instead of 'you'.

Several existential presuppositions are shared by ST and TT, among which the existence of the woman herself – she is introduced in the opening sentence of the story but not as 'new information'. The pock-marked cheeks are not, however, presupposed in the original (Gloss: the woman is [...] with pock-marked cheeks) but the translation uses presupposition triggered by possessive adjective ("her pock-marked cheeks"). Finally, (3) also contains an instance of explicitation: "**leading – or rather dragging** her horse" replaces the ST "tîrîndu-și calul" (dragging her horse).

Example (4) below illustrates [- distance] and [+ distance] shifting in the very same sentence, and is representative of what happens, on a larger scale, in the entire story. More exactly, in this sentence as in the story itself, the particular instances where a proximal or a distal are used in the ST compared to the translation differ but the balance between distals and proximals is, virtually, the same, because distancing and approximating shifts appear to cancel each other out, at an overall level.

(4)

ST: Și tot așa, cu popasuri dese, cu îndemnuri, ajung pe culme. De aici-i mai ușor. (Agârbiceanu 1979: 284)

Gloss: *And thus*, with frequent halts, with promptings, they reach the crest. *From here* it's easier.

TT: In this way, with frequent halts and promptings, they reach the crest. Thenceforward the way is easier. (Agârbiceanu 1971: 150)

The additive junctive 'și' (and) is removed in the translation, with some subsequent loss for the dynamic of the narration; this is not an isolated case in the translation but is, as will be shown later in this section, a pattern in this translation. Explicitation is again present via the addition of 'the way'. Two opposite adverbial shifts take place in (4), one of them approximating (→ 'In this way'), and the other distancing ('*de aici*', meaning 'from here' → 'thenceforward'). The present tense verbal framework is still operative in both the original and the translation, which is extremely significant in view of the fact that many translations in the corpus tend to shift historical present into the past.

Further evidence of shifts in *Fefelega* is presented in (5).

(5)

ST: Pe când îi trăia bărbatul, Dinu, oamenii îi ziceau Măria Dinului. Și Măria Dinului, pe vremea aceea, lucra cu Bator alături, ca și acum, iar Dinu lucra în baie, sfrederea stînca și pușca cu praf ori cu dinamită, ca toți băieșii. (Agârbiceanu 1979: 284)

Gloss: *While her husband, Dinu, was alive, people called her Măria Dinului. And Măria Dinului, during that time, worked with Bator by her side, like now, and Dinu worked in the mine, drilling the rock and blasting with powder or with dynamite, like all the miners.*



TT: When her husband Dinu was alive, people used to call her Maria Dinului, that is ‘Dinu’s Maria’; she had worked with Bator beside her as she was **still** doing now. Dinu had worked in a mine, drilling the rock and blasting it with gunpowder or dynamite, like all miners. (Agârbiceanu 1971: 151)

Yet another additive junctive ‘și’ (and) is removed from the text in translating, as can be seen in this example. Explication of cultural presupposition takes place in “Maria Dinului, that is ‘Dinu’s Maria’”, and [- definite] shifting can be noticed in ‘*baie*’ (the mine) being translated as ‘a mine’, any mine at all rather than a certain mine which the communicants are assumed to be aware of. Finally, the addition of ‘still’ is an instance of translator intervention in the text, by adding emphasis.

While no overall distancing or approximating audience design can be found in this story, a certain distancing is at work in the passages narrating the circumstances of the death of Maria’s daughter. The ST is particularly emotional here, and this is somewhat toned down in the translation by reducing the number of proximal deictics used.

## (6)

ST: [...] la patru ani, doua luni și treisprezece zile de la cel din urmă mort, i-a adormit și fetița rămasă în viață [...]. Și asta, ca și vreo trei mai nainte, n-a fost bolnavă [...]. Și când i-a murit copila aceasta din urmă, Fefelega n-a spus o zi nimănui [...]. [...] a intrat în casă, s-a pus pe-o laviță de brad și a stat ziua-ntreagă așa cum stă lemnul. N-a plîns, nu s-a bocit, nu și-a sărutat copila, ci a stat asa, cu capul in palmele aspre [...]. (Agârbiceanu 1979: 289)

Gloss: [...] *four years, two months and thirteen days after the last dead, her one remaining little girl also died [...]. This one, like the three before her, had not been ill either [...]. And when this last girl of hers died, Fefelega did not tell anybody for a whole day [...]. [...] she entered the house, sat down on a fir-wood bench and sat the whole day like a piece of wood. She did not cry, did not lament, did not kiss her child, but sat down like this/that, with her head in her rough palms.*

TT: [...] four years, two months, and thirteen days after the last death her one remaining daughter passed away. Nor had she been sickly any more than the others before her [...]. When her last girl died, Fefelega told nobody for a whole day [...]. She went back into the house, sat down on the oaken bed, and remained motionless in that position all day, like a wooden figure. She neither wept nor mourned; she did not kiss her child; she just sat there with her head buried in her horny palms [...]. (Agârbiceanu 1971: 156)

The ST repetition of the proximal demonstrative *asta/aceasta* (both mean ‘this’ in Romanian; the difference between them is one of register, ‘*aceasta*’ being more formal) could hardly be accidental. Rather, it is likely that at this point in the novel (see also the analysis in 7a and b and 14a, in 5.1.1), when Fefelega’s last child is dead, the use of deictic projection suggests involvement. In the translation, the proximals are replaced by a pronoun (she) and a possessive adjective (her), which are more neutral. There is an addition of a distal adverbial phrase within the translation, and it acts as an explicitation: “in that position”. The distal adverb ‘there’ is used to translate the Romanian ‘*aşa*’ which actually means ‘thus’, or ‘this/that way’.

An approximating/involving shift also occurs, however, from “*o laviță de brad*” (a fir-wood bench) to “the oaken bench”, which is a [+ definite] shift. The wooden bench is brand new information; arguably, it can also be construed as part of the Inferrables category (Prince 1981), and involves culture-based stereotypic assumptions (e.g. peasant houses have wooden benches). Nonetheless, it is a fact that, by using definiteness, the translation presupposes awareness of the designated entity in Fefelega’s house, or at least awareness that such an item is expected to be part of the Romanian peasant house; there is also a suggestion that there is only one such wooden bench in the house/room. The indefinite in the original may, on the other hand, suggest that there were more such benches there, and that Maria sat down on one of them.

As Maria sat down in grief, her entire life passed in front of her eyes as she sought to understand the purpose of so much struggle (see also 14b in 5.1.1).

## (7)

ST: Apoi, încet-încet, cu mare greutate, socotea numărul anilor dintre morții săi, de la bărbat pînă la fetița aceasta din urmă [...]. Dar acum s-a insprăvit cu strapțul! Nu mai avea pentru ce să se zdrobească [...]. Acum, cînd Păunița sta cu luminița de ceară la căpătîi, simțea Fefelega că toată viața pentru copiii aceștia s-a chinuit. (Agârbiceanu 1979: 290)

Gloss: *Then, very slowly, with great difficulty, she worked out the number of years between her dead ones, from her husband to this last little girl [...]. But now the toil was over! She had nothing left to slave for [...]. Now, when Paunița was lying with the little wax candle at her bedside, Fefelega felt that it was for these children that she had toiled all her life.*

TT: Then, gradually, with great difficulty, she worked out the number of years between each death in her family, from her husband to her last girl [...]. But now all this toil was over! **Now** she felt for the first time that she had nothing left to slave for [...]. Now, with Păunița lying



there with a wax candle flickering at her bedside, Fefelega realized that it was for the sake of her children that she had endured it all. (Agîrbiceanu 1971: 157)

In addition to the two [+ distancing] shifts involving demonstratives in (6), we now note two further similar shifts: “*fetița aceasta din urmă*” (this last little girl) → “her last girl”, and from “*pentru copiii aceștia s-a chinuit*” (it was for these children that she had toiled) to “it was for the sake of her children that she had endured it all”. The repetition of the proximal adverb *acum* (now) is not only preserved in the translation, but is actually reinforced by the addition of a third proximal adverb. In fact, an entire clause is added at this point in the text, which can be construed as an instance of explicitation in translation “**Now she felt for the first time**”, as is the addition of the distancing deictic ‘there’ which indicates the place where Păunița lies dead. The choice of a distal rather than a proximal deictic is not irrelevant. Finally, a [- definite] shift with distancing effect is from “*lumiņa de ceară*” (the little wax candle) to “a wax candle”; it is important to note that the translation also removes the ST diminutive ‘little’, with an obvious effect on the degree of emotiveness of the text.

This presupposition shift from “the little wax candle” to “a wax candle” could be linked with assumptions about readers’ cultural awareness, but then the religious practice of lighting a candle after someone has died is common to most Christian countries and may be familiar to the target audience. Shifting towards [- definite] elicits less reader involvement and may even be indicative of the translator’s detachment from the religious ritual depicted; this reinforces the psychological distancing which was noted to result from the absence of ‘little’ and in the way deictics are used. The indefinite in the translation does not totally remove the presupposition, but only weakens it. The existence of some candle is still presupposed rather than presented as new information (possibly by a statement such as ‘there was a wax candle in the room, near the dead girl’). What *is* missing from the translation is the assumption that readers are aware of the particular candle flickering by Păunița’s bedside (‘the little wax candle’, quite precisely designated by definiteness and the modifier ‘little’). If someone is aware of such particulars, it means that they are present at the scene or have some kind of insider awareness, which target readers are not assumed to possess – or, at least, not to the extent to which this is expected in the original.

The trend in example (7) (as well as in 6) is, then, one of distancing, of toning down the emotional involvement in Maria's plight. It is, however, not possible to generalise this on the entire translation because the significance and the effect of the trend in examples (6) and (7) (other examples from this part of the narrative could also have been quoted) is local, and refers only to a specific event.

In order to be able to buy the necessary objects for the burial Maria sells Bator, her horse. She wants her daughter to be buried in a bride's attire, as is the custom for unmarried girls. She finds a buyer and parts with the horse.

**(8)**

ST: [...] ca dintr-o fulgerare, înțelese păcatul ce-l face, despărțindu-se de calul ce-a ajutat-o o viață întreagă. Dar zadarnic! Dînsa nu mai avea ce face cu Bator. (Agârbiceanu 1979: 291)

Gloss: [...] *in a flash, she understood the sin she was committing in parting from the horse which had helped her during her entire lifetime. But in vain! She did not have what to do with Bator any longer.*

TT: [...] in a flash she realized the sin she was committing in parting from this horse which had helped her during a whole lifetime. But in vain: she had no further use for Bator. (Agîrbiceanu 1971: 158)

The translation adds a proximal demonstrative (this horse), which is a deictic projection conveying a stronger degree of involvement compared to the ST definite article. On the other hand, the exclamation mark (an obvious interactive feature in the original text) is removed, with a subsequent loss in the involvement which is suggested. From the point of view of distancing/approximating, the impression is once again that the shifts in this translation cancel each other out.

In (1) earlier in this section we analysed an instance of pronominal address in both ST and the translation, and it was suggested that using second person reference (*you*) to address the readers at the very start of a narrative is about as direct as one can be in addressing one's audience. Another instance of pronominal address in *Fefelega* is in (9). Admittedly, there is an indefinite dimension in both the Romanian and the English address here (i.e. indefinite 'you'), but other, more impersonal alternatives would have been available (e.g. 'one could count every bone' instead of 'you could count every bone'), and the selection of 'you' is therefore significant.



(9)

ST: [...] calul ăsta mare, alb, slab de să-i numeri toate oasele [...]. (Agârbiceanu 1979: 285)

Gloss: [...] *this big, white horse, so skinny that you could count all its bones*

TT: [...] this big white horse, who was so skinny that you could count every bone in his body [...]. (Agârbiceanu 1971: 152).

Also note here the use of the proximal demonstrative (*ăsta*/this) in both ST and TT. It is not always the case, however, that ST address is rendered as such in the translation, as illustrated in (10).

(10)

ST: [...] a înțeles că, pentru o femeie necăjită ca ea, toate acele închipuiri de mai bine sînt, iac-așa, prostii, care-ți fac traiul și mai greu. (Agârbiceanu 1979: 286)

Gloss: [...] *she understood that, for a poor woman like her, all those imaginations of a better life are, just like this/that, nonsense, which makes your life even harder.*

TT: [...] she realized that for a harassed woman like herself all such illusions of better times were plain nonsense and only served to make things even worse. (Agârbiceanu 1971: 153)

Besides deleting the pronominal reference ‘your’, the translation also leaves out the interactive cue ‘*iac-așa*’; the latter is difficult to translate as it is a combination of ‘*iaca*’ (look!/lo/ behold) and ‘*așa*’ (thus, like this/that).

Explicitations and various other translator interventions occur in the text, and are realised by adding or removing text, and by inserting comments or interpretations. For example, in “The well-to-do, knowing that she was alone in the world, did not pay her regularly and did not even pay her in full; all of them owed Fefelega large arrears” (Agârbiceanu 1971: 154), ‘even’ is added in the translation; it is a value-judgement (of condemnation) passed by the translator on the wealthy people who wronged Maria (i.e. appraisal in translation).

The analysis above suggests that no obvious distancing can be discerned in this translation, and certainly not in the clear-cut way it manifests itself in the text examined in 5.3.1. There appears then to be a slight contradiction between the findings of the quantitative analysis, which point to the existence of a distancing trend (albeit weak), and those which emerge from a qualitative analysis, which rather suggest that no overall

distancing trend is at work here, and that whatever distancing takes place has a restricted significance which is linked to a specific event or another in the narrative. At first impression, this text may seem exceptional (for a discussion of unusual patterns, also see 6.4), by comparison with other texts in the corpus. However, it must be remembered that audience design can manifest itself in other ways besides overall distancing or approximating; such trends may be less visible but this does not mean they are not there, or that they are not important.

There is indeed no obvious overall distancing trend in *Fefelega*, and there seems to be a certain randomness in the translator's treatment of deixis, for example. However, individual shifts and clusters of shifts (see, for instance, the combined effect of 1 and 2 on the positioning of the narrator, and implicitly, the encoded position of the reader towards the character and her environment) subtly generate more distance or, on the contrary, increase closeness, on various occasions in the narrative. It may therefore be possible to talk about the existence of a distancing trend *and* of an approximating trend at the same time. At times translational shifts tone down the emotional note in the original (such as in the passages which relate the death of the child); elsewhere they alter the narrator's alignment with Maria's view of the world and create a different positioning towards characters and events.

This case study suggests that audience design comes in a variety of forms and should not be measured solely on the basis of criteria which may well apply to a certain text (e.g. the existence of a strong distancing trend) but not to another. The fact that *Fefelega* does not conform entirely to the trend in the corpus must not be taken to mean that audience design is not at work in this text. Every translation differs from another, and new tools for analysis are required in order for relevant findings to emerge, and this points to the limitations of the model for analysis we have used (see sections 6.5 and 7.4). Extending the model for analysis to include other parameters besides those used here will help to account in a better way for the audience design of *Fefelega* and some other translations.



### 5.3.3 Concluding remarks

The case studies presented in 5.3.1 and 5.3.2 are quite different in what they tell us about audience design. First of all, the excerpt from *A Man amongst Men* (5.3.1) is a clear example of a distancing audience design. In the short story in 5.3.2, on the other hand, an overall distancing is difficult to establish because distancing shifts are accompanied by other types of shifts; however, other findings emerge here which are relevant to audience design, for instance the fact that deictics are used to subtly alter positioning in some circumstances rather than others, thus shifting the alignment with certain ideals, characters or events. This has led to a reflection on some limitations of the model for analysis of audience design, and on the necessity to enlarge it, so that it is able to account for various types of audience design besides distancing and approximating.

## 5.4 Conclusions

The present chapter has concerned itself with qualitative evidence of audience design in Romanian-English literary translations from the corpus. It draws its main findings from the analysis of deixis (demonstratives, adverbs, verbal tenses, and person deixis), existential presupposition (triggered by the use of definiteness versus indefiniteness) and cultural presupposition. Two case studies (5.3.1 and 5.3.2) were used to investigate shifts within larger co-text and to explore their interaction and their contribution to the overall audience design of translations compared to the original texts.

It was found that translators intervene in texts in a variety of ways and the degree of shifting differs between translations, but overall in the corpus there is a tendency towards [+ distance], [- definiteness], and explicitation. The distancing trend (and it has been shown that [- definite] shifting also has a distancing effect) is stronger in some translations, and weaker in others; but on a continuum ranging from strongly approximating to strongly distancing, all the translations fall in the [+ distance] rather than [- distance] category.

Translators' assumptions about original writers and the original writers' assumptions, their assumptions about translating, as well as conventions, could be involved in some

non-obligatory shifting. It is, however, likely that considerations of readership also play a prominent part, and this means audience design. Indeed, the analysis of individual shifts and sets of shifts involving deixis and presupposition pointed out that translator assumptions (whether warranted or unwarranted) about audience, accommodation, politeness phenomena and relevance are all involved in actively shaping the audience design in translations. The case studies showed that shifts are an important part of translations, rather than being isolated, infrequent occurrences, and that they combine, with the result that the audience design of the translation is different to that of the source text.

The distancing audience design in the translations in the corpus means that a lesser degree of engagement with the text is expected of target readers. They are assumed to be less willing/interested/able to participate in the act of communication as in-group members compared to the readership of the original text, and boundaries are systematically traced via linguistic features in the text. There is also a trend from less conventional to more conventional style, which positions the reader as working within familiar frameworks. The case study in 5.3.2, however, points to the limitations of the model for analysis used here and suggests that the audience design in some texts may be better explored using other tools for analysis besides deixis and presupposition.



## **CHAPTER 6**

### **AUDIENCE DESIGN IN LITERARY TRANSLATIONS FROM ROMANIAN INTO ENGLISH**

While it endeavoured to identify and discuss evidence of audience design, the analysis in Chapter 5 did not discuss this evidence in terms of receiver categories (addressees, auditors, overhearers, eavesdroppers); this will be done in 6.1 in this chapter. The chapter also presents a comparison of the three sub-corpora in terms of trends in audience design (6.2); it tackles the issue of ‘translator style’ as a potential factor involved in shift trends (6.3), and discusses the case of an individual sample which presents an unusual pattern of findings (in 6.4). Other evidence of audience design besides that provided by an analysis of deixis and presupposition is briefly examined in 6.5, and preliminary conclusions are drawn in 6.6.

#### **6.1 Categories of receivers: the three sub-corpora**

So far in this study we have used the notion of ‘audience’ in a broad sense; ‘source text audience’ has been taken to mean all the Romanian-speaking readers who can read the literary work in the original, and ‘target text audience’ has been used to designate the readers who are potential users of the English translation. Differences of time, place, and cultural background between the two ‘audiences’, as perceived by the translators, are in themselves sufficient reasons to warrant a change in the audience design of translations compared to source texts. The question to be asked at this point, however, is whether it would be possible to be more specific, and interpret our findings on audience design in terms of categories of receivers which translators may have targeted (cf. Bell 1984, addressees, auditors, overhearers and eavesdroppers; see 2.1.1).

A detailed account of the notion of ‘audience’ is given in 2.2.1; some of the main aspects discussed in that section include the interactive and communicative nature of written texts, the fact that communicators do take audiences into account (whether

deliberately or non-deliberately), the ambiguity created by not knowing who exactly has joined the audience, and the fact that designing for an audience is based on assumptions which are not always warranted or accurate. Audiences are heterogeneous: their members may vary considerably in terms of cognitive environment, reasons or motivation for approaching the text, as well as the effort they are willing to invest in reading a particular text. Distinct audience groups (e.g. in terms of education, age, gender, profession) may be targeted at the same time.

As mentioned earlier, the potential audience of the translations in the corpus can be broadly construed as comprising everybody who can read in English. More specifically, the audience is likely to consist of those who are interested in reading literature in English and, to narrow things down even further, those who are interested in reading translations into English from literature in a little-known language such as Romanian. This already excludes a great number of the readers initially considered as potential members of the audience because, as pointed out by Venuti (1995: 14-7), Anglo-Saxon audiences are generally wary of reading literature in translation, especially from literatures which occupy a marginal position in the polysystem. An educated audience may therefore seem likely, perhaps an audience interested in Eastern Europe in general and in Romania in particular, but this still leaves a variety of factors unaccounted for, such as the reasons why readers approach the text, their particular background, their awareness of Romanian issues, or their nationality. While it may be assumed that translations from Romanian published in the UK are geared towards a British audience in the first place, they could also be read by English speakers from countries other than the UK, or even by speakers of English as a foreign language. As for translations into English published in Romania during the Communist period, a substantial part of the audience consisted of Romanian teachers and students of English who, due to the scarcity of native-speaker materials, used such translations to practise the language. Nevertheless, it is possible that the translators themselves entertained altogether different assumptions about who their readers would be. While it is not possible to say exactly how many of these translations actually left Romania, the fact that a number of British libraries are in possession of some copies points to the fact that at least some translations reached abroad.

Introductions, information on the dust-jacket of translations, and any clues which could be obtained from publishers, have not been particularly specific about receiver



categories. In the absence of further contextual clues about who the addressees, or, for instance, auditors of a particular literary translation from Romanian into English were envisaged to be (always bearing in mind the possibility that there may in fact be no precise way of defining such groups in the case of literary communication, or at least not always), there is a limit to the amount of information in this respect which the texts on their own can offer. Some findings, however, point to at least one specific group, namely the censors (i.e. the overhearers, according to Bell's taxonomy), being taken into account in several translations published in Romania. This is the case, for instance, in the excerpt below, which is taken from the very start of the 1983 translation of the novel *The Hatchet*. As has been the convention throughout the present study, items which are shifted are underlined in the ST, the Gloss, and the TT, whereas items which are omitted in the translation are presented in bold in the ST and the Gloss.

(1)

ST: Domnul Dumnezeu, după ce a alcătuit lumea, a pus rînduială și semn fiecărui neam.

Pe țigan l-a învățat să cînte cu cetera și neamțului i-a dat șurubul. [...]

A chemat pe ungur cu degetul și i-a ales, din cîte avea pe lîngă sine, jucării: Iaca, dumnitale îți dau botfori și pinteni și rășină să-ți faci sfîrcuri la mustăți; să fii fudul și să-ți placă petrecerile cu soții.

S-a înfățișat și turcul: Tu să fii prost; dar să ai putere asupra altora, cu sabia.

Sîrbului i-a pus în mîină sapa.

**Pe rus l-a învrednicit să fie cel mai bețiv dintre toți și să se dovedească bun cerșetor și cîntăreț la iarmaroace.**

A poftit pe boieri și domni la [...] cafea [...]. (Sadoveanu 1987: 88)

Gloss: *The Lord God, after he made the world, put order and gave a distinctive sign to each nation.*

*The Gypsy he taught to play the fiddle and to the German he gave the screw. [...]*

*He beckoned to the Hungarian and chose for him, from what he had around him, toys: Here, I give you boots and spurs and resin to make the ends of your moustache stand stiff; you will be conceited and will like the parties with wives.*

*The Turk then came forward: You will be stupid; but you will have power over others, with the sword.*

*To the Serb he gave the spade.*

***He made the Russian the most drunkard of them all and good at begging and singing during fairs.***

*He invited the boyars and the lords to [...] coffee [...].*

TT: Having made the world, the Lord God put order among the nations and gave each a distinctive sign.

He taught the gypsy to play the fiddle and to the German he gave a screw. [...]

He beckoned to the Hungarian and chose a number of gewgaws for him from among those he had at hand: "Here I give thee Hessian boots and spurs, and resin to make the ends of your moustache stand up stiff; thou shalt be full of conceit and be fond of revelry and women."

The Turk then came forward: "A rich share of wits thou shalt not have, but by the sword shalt thou prevail over others."

To the Serb he gave a spade.

He invited the boyars and princes to coffee [...]. (Sadoveanu 1983: 13)

Several things happen in (1), including the archaising translation of God's address to the nations, but we are interested here in how the 'distinctive signs' of the nations are rendered in the translation. Underlined are instances of hedging some of the most offensive claims, such as the claim that the Hungarians like to party with married women, and that the Turks are stupid, while the reference to the Russians being drunkards, beggars and singers in fairs is altogether omitted in the translation. It is probable that these shifts are linked to censorship/political unacceptability, but they could also be due to the translator's own decision to reduce or eliminate the offending material if, for instance, she<sup>24</sup> envisaged that members of the audience could be speakers of English from any of the communities mentioned in the text, or, perhaps, in anticipation of the censor.

Example (1) is not an isolated case in the corpus. The novel *Străinul*, for instance, abounds in references to historical and socio-political events (e.g. that Stalin made a mistake in not recognising sooner the fascist danger and was rather more concerned with eradicating social-democrat opposition; Popovici 1989: 203) which are not translated. It is, however, possible that the edition of the ST used by the translator had been previously censored, rather than censorship operating on the translation itself, or that post-translation censorship by the publisher took place. In any case, it must be noted that censorship involves the overhearer group having more influence on what is communicated than usual<sup>25</sup>. An example of a distancing shift potentially influenced by

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<sup>24</sup> The translator here is Eugenia Farca.

<sup>25</sup> In fact, Bell (1984) also suggests that the extent to which his four receiver categories influence production format may be reversed under some circumstances. For example, in TV sit-coms auditors have more influence than direct addressees.



the translator's awareness of censorship was discussed in (2) in 5.1.1.1 (this magic to that magic), but further evidence would be needed in order to make a clear case for this.

While it is not possible to be precise about who the addressees, auditors and overhearers of the translations in the corpus were envisaged to be, we can still tentatively suggest that a plausible audience design for the translations in the three sub-corpora may be as follows:

- for the **R sub-corpus** (translations into English by Romanian native-speakers, published in Romania):

Addressees	English-native speakers (British, American, etc.)
Auditors	Non-native speakers of English, including Romanian teachers and students of English. The translators might have been aware that auditors would probably out-number addressees.
Overhearers	The censors

An example of an eavesdropper could be the present researcher.

The distancing trend in the corpus in general, and in the R sub-corpus, as well as the tendency to presuppose less in the translations compared to the originals, point to an audience design which is primarily geared towards foreign readers (as would in fact be expected of a translation), who are positioned as not sharing in-group membership with the original author or the translator; the presence of the Romanian auditors would not warrant such shifts. The model presented above is, obviously, a generalisation; further scrutiny of each translation in particular, including contextual evidence, would be required in order to be more specific.

- for the **B sub-corpus** (translations by English native-speakers, published in the UK)

Addressees	British readers of literature in general, and of translated literature, in particular
Auditors	Other native speakers of English (e.g. American, Australian). This is largely determined by how a book is marketed (e.g. hardback or paperback, station bookstall or specialist bookseller).

Overhearers    Speakers and learners of English as a foreign language  
(including Romanian readers)

Once again, this is a generalisation; further research might, for instance, ascertain that a particular translator specifically designed her/his translation for an addressee group comprised of intellectuals with an interest in Eastern European studies or, on the contrary, that the translation was done in order to make Romanian literature known to a broader audience and, consequently, a larger and less coherent group is addressed. Enlarging the model for analysis to include other parameters besides those used in this study might be required for such research.

There is one translation in the B sub-corpus, however, for which we have a very clear indication of who the addressees are envisaged to be. Tappe's 1969 translation *Fantastic Tales* (comprising two short stories by Eliade and one by Niculescu) is, the preface states, for intermediate students of Romanian as a foreign language; the Romanian and the English texts are presented in parallel, and the notes at the end are intended to support learning. The reason for Tappe's undertaking is best explained by the fact that he was Professor of Romanian Studies at University College London. In the present study, the short story 'Twelve Thousand Head of Cattle' by Mircea Eliade was sampled and analysed, and Tappe's translation was found to be a clearly literal one (with respect to deixis and definite/indefinite reference). For example, no non-obligatory shifts involving articles have been found (compare this with fourteen [-definite] shifts in another sample from the same sub-corpus), and only very few shifts involving deictics (e.g. one [+ distance] shift and no [- distance] shifts in adverbs, compared to ten [+ distance] and eight [- distance] adverb shifts in another translation from the B sub-corpus). In view of Tappe's statement that the translation was undertaken with students of Romanian in mind, this virtual absence of shifting can confidently be considered to be evidence of the translator's audience design. The translator wanted to give learners of Romanian a translation which was as close as possible to the original, from a formal perspective, and the Romanian text is provided in parallel with the TT so that students can look at both texts at the same time.

- For the **M sub-corpus** (a hybrid collection of translations)

A useful generalisation is more difficult to make in the case of the M sub-corpus compared to the R and the B sub-corpora, because of the more heterogeneous nature of



this particular sub-corpus. Both of the audience design models presented above, as well as a combination of them, might serve as an indication of what the audience design of the translations in the M sub-corpus could be.

To conclude the present section on receiver groups in the three sub-corpora, it is important to note that while authors today increasingly expect that their works will be read by an international audience, it is plausible to suggest that Romanian writers in the first half of the twentieth century and during the Communist period wrote primarily for a Romanian audience. The main difference then between the audience design of the original texts and the translations in the corpus is that the former are geared towards Romanian addressees, while the latter are primarily intended for native speakers of English (British readers, in the case of the B sub-corpus). The auditors and overhearers may also be different. While clearly pointing towards a particular type of audience design in translation (i.e. distancing), the deixis and presupposition data which has been examined in this study does not allow TT receiver groups to be identified on the basis of textual evidence only.

## **6.2 The trends of audience design in the three sub-corpora**

It is now time to examine whether, and to what extent, the extra-textual differences between the sub-corpora (also see discussion of receiver groups in 6.1) are reflected in the translations themselves, and whether characteristic patterns emerge in any of the sub-corpora.

First of all, it must be noted that the analysis of instances of shifts in Chapter 5 did not point to any differences between the way in which shifts operate in literary translations from one sub-corpus compared to another and the effects they produce (i.e. suggesting distancing, requiring less involvement, and expecting less co-operation on the part of readers). However, the numerical findings in Chapter 4 suggest that, while distancing takes place overall in the three sub-corpora, the degree to which it manifests itself differs from one sub-corpus to another (for numbers of occurrences, see Chapter 4. For example, 71.20% of all demonstrative shifts in the R sub-corpus sample are distancing, compared to the slightly lower 67.21% in the B sub-corpus sample and 70.75% in the M sub-corpus). As shown in Chapter 4, the weakest distancing trend was found in the B

sub-corpus (translations by English-native speakers, published in the UK), compared to the R sub-corpus (Romanian translators, TTs published in Romania) and the M sub-corpus (a mixed collection of translations). There was also found to be less explicitation in the B sub-corpus compared to the other sub-corpora.

This difference in the degree to which the trend manifests itself strongly suggests that the place of publication and the mother-tongue of the translator do impact on the translations, and of course the place of publication is not unrelated to considerations of envisaged audience (see the audience design models suggested in 6.1). However, this must not blind us to the fact that it is in fact the same trend (i.e. distancing) which manifests itself in the translations belonging to all three sub-corpora. This is an important finding regarding the audience design of the translations in the corpus; it points to a similarity between the assumptions translators, both Romanians and English-native speakers, entertain about their audience (i.e. target readers are positioned as less likely to be co-operative, and less willing to become involved). The fact that it is the B sub-corpus and not, for instance, the R sub-corpus, which displays the least distancing and explicitation, is best explained in terms of translator assumptions about audience, rather than the actual characteristics of the addressees, auditors, and so on. It is, for example, plausible to suggest that the Romanian translators in the R sub-corpus are less confident that the target audience will be favourable towards the translation or that they will be willing to become involved in the way source text readers might be expected to. Consequently, translators accommodate to the reaction they expect of the audience, as well as the needs target readers are expected to have (e.g. the need to be taken by the hand, as it were). This may explain the greater degree of distancing and explicitation; the two trends considered together form a coherent audience design. On the other hand it may also be the case that translators in the B sub-corpus (English-native translators) do not always possess some of the awareness presupposed in the original text and cannot, therefore, explicate instances of presupposition for the benefit of the readers in the same way Romanian translators are able to. Finally, it is possible that translators who are English-native speakers have more confidence in the readers' ability to infer meaning.



### 6.3 Translator styles

One of the factors which could be involved in non-obligatory translational shifts, besides audience design, is what has been called by some (e.g. Baker 2000) ‘translator style’. Baker (2000) investigates whether literary translators can be shown to use distinctive styles of their own and suggests that, in spite of methodological difficulties, it is possible to identify patterns of choice “which together form a particular thumb-print or style of an individual literary translator” (Baker 2000: 260). The way in which she proposes to do this is by identifying whether individual translators consistently show (in more than one translation, and independently of the original author’s style) a preference for specific lexical items, syntactic patterns, cohesive devices, or even punctuation.

The table below presents the number of volumes in the Romanian-English corpus translated by each translator, either individually or in co-operation with other translators.

**Table 6.1** Numbers of volumes translated by each translator

Name of the translator	No. of translations done individually	No. of translations done in a team
A. Cartianu	3	-
E. Farca	3	1 (with L. Marinescu, S. Radu and V. Alexandru)
C. Petrescu	1	-
L. Marinesu	1	-
N. Mişu	1	-
M. Bogdan	1	1 (with J. E. Cottrell)
E. Tappe	1	-
P. Crandjean	-	1 (with S. Hartauer)
A. Hillard	2	-
A. V. Wise	1	-
R. MacGregor-Hastie	1	-
S. Trifu	1	-
P. M.	2	-
Translator’s name/ initials not known <sup>26</sup>	2	-

<sup>26</sup> Since in this case it is not possible to know whether the translation was done by an individual translator or by a team, the decision to present the number of volumes in the column dealing with individual translators has been taken at random.

As can be seen in Table 6.1, the majority of translators are represented by only one volume in the corpus, but some translators are responsible for two (e.g. A. Hillard), three (A. Cartianu), or even four translations (E. Farca). No salient findings appear to emerge from a comparison of the findings presented in Chapter 4 in terms of patterns of shifting in translations by the same translator and translations by other translators. More precisely, while all the translations display a distancing pattern in both deictics and articles, the differences in the degree to which the trend manifests itself do not appear to be greater between translations done by different translators compared to translations by the same translator. It must be acknowledged, however, that the methodology of this study has not been designed for the purpose of examining translator styles; different sample sizes and perhaps another model for analysis than that used here might be more appropriate for a study of translator style. It might be revealing, although complicated, to introduce a further variable, namely the author of the original text, and to compare translation patterns between translations from the same ST author.

Although identifying and/or comparing translator styles has not been one of the aims of this study, it must be recognised that translator styles might be of significance in the corpus (as well as potential patterns in translating from the same ST author) and might affect our findings. It appears, however, that the possibility (or, if we take into account the findings of Baker 2000, the probability) of individual translator style manifesting itself in literary translation is not incompatible with an audience design perspective, in a pragmatics-oriented study. If we consider style from a pragmatics angle (as we have done throughout this study), rather than from a formal perspective, the various possible ways of saying something become significant because of what they reveal about the factors which compose the situation, the participants, and the particular aims and purposes involved, rather than act in isolation from them. In fact, from the perspective adopted in the present study, “Style is essentially speakers’ [communicators’] response to their audience.” (Bell 1984: 145, my addition) or, to put it in another way, style *is* audience design. Unearthing evidence of translator styles would therefore enhance rather than endanger our findings: it would point to individual translators’ approaches to audience design, rather than contradicting the audience design interpretation of patterns of non-obligatory translational shifting which has been offered here.



#### 6.4 *A Gamble with Death*: the case of an individual sample with an unusual pattern of shifting

We now turn to a brief discussion of the unusual pattern of shifting in the sample from *A Gamble with Death* by Zaharia Stancu, translated into English by Richard Hillard and published by Peter Owen in 1969. In this study, the novel is included in the B sub-corpus. The case of another unusual translation (in terms of adhering to the [+ distance] and [- definite] trends in the corpus) was presented in 6.1 earlier in this chapter: Tappe's literal strategy in translating a short story by Mircea Eliade (also in the B sub-corpus), for a readership of intermediate learners of Romanian. Non-shifting in the case of this translation is clearly linked to a particular type of audience design. *A Gamble with Death*, however, differs from the others in the corpus in that it is the only sample which displays more approximating than distancing shifts in terms of both demonstratives and adverbs, as well as more [+ definite] than [- definite] article shifts. Thus, there are only two [+ distance] shifts in demonstratives in this sample compared to eight [- distance] shifts, eight [+ distance] adverb shifts compared to ten [- distance] shifts, and nine [- definite] article shifts as opposed to ten [+ definite] article shifts (see Chapter 4).

This pattern of shifting is unusual when seen in the context of the overall trend of [+ distance] and [-definite] shifting in the corpus and in the majority of individual samples. On the other hand, it is the case that a small number of other samples besides 5-B (*A Gamble with Death*) do not conform to the pattern in one or another of the parameters under analysis. For example, sample 11-R (from the short story *Among the Wolves*) has more [-distance] than [+ distance] adverb shifts, but on the other hand it conforms to the trend on the parameters of demonstratives and articles, as well as verb tenses, and analysis shows that distancing is the prevailing tendency here. Sample 1a-M, *Fefelega* (see case study 5.3.2), also presents a case of there being more [- distance] than [+ distance] shifts in adverbs (nine approximating and seven distancing shifts) but the findings from both demonstratives and from articles adhere to the main trend in the corpus; this sample has been shown (in 5.3.2) to present a weaker version of distancing audience design. Sample 5-B therefore stands alone as a clear exception to the trend on all the parameters examined. Another novel in the corpus, *Ion* by L. Rebreanu, was translated by the same translator as *A Gamble with Death*, but *Ion* adheres completely to the distancing trend in terms of numbers of occurrences of shifts. Two other novels by the author of *A Gamble with Death* are in the corpus (*The Gypsy Tribe* and *Barefoot*)

and are translated by different translators, and neither of these are exceptions to the trend.

As has already been suggested in this study, the translations in the corpus can be placed on points on a continuum which extends from [- distance] to [+ distance]; virtually all the translations belong to the [+ distance] end of the continuum. The case studies in 5.3.1 and 5.3.2 have already shown where two other translations are positioned on the continuum; thus, *A Man amongst Men* (from sample 3-R) has a strongly distancing audience design, while *Fefelega* (1-M) has a slight distancing audience design<sup>27</sup>. The findings from sample 5-B suggest that this particular translation can be positioned in the [- distance] area and that an approximating audience design is in operation; this is a very different case from that of *A Man amongst Men*, but less different compared to *Fefelega*.

The reasons for the approximating trend in 5-B are no less complex than those involved in distancing in the rest of the corpus, and may involve translator assumptions about the original text, about translation strategy, or about the audience. The nature of the ST itself must also be considered here as a potential factor; *Jocul cu moartea* (*A Gamble with Death*) is a narrative prose with a particularly poetic character, and in a sense selects a special kind of audience (with a taste for poetry, possibly an educated audience). The translator is careful to preserve the poetic character of the text (e.g. markedness) and it is along this dimension that the audience is primarily invited to relate to the text, rather than towards the narrated events as such. *A Gamble with Death* is probably an example of a text which can only be read in a very involved way, or not at all.

## 6.5 Other evidence of audience design

Deixis and presupposition, which have been the focus of this project, are important ways in which audience design can manifest itself via linguistic cues in texts, but they are by no means the only ones. Four other types of evidence of audience design in translating were explored in the stages immediately following the pilot study for this

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<sup>27</sup> Another way of putting this would be to say that *Fefelega* exhibits a [+ distance] and a [- distance] trend.



research: exclamations and rhetorical questions, sentence and paragraph length, junction, and a broader category including various types of translator interventions in the text.

Exclamations and rhetorical questions in written texts are strong reminders of face-to-face conversation, and invite or challenge readers to become involved. A question, albeit rhetorical, presupposes a type of answer - or at least the existence of an answerer - and thus signals the dialogical nature of the written text and the fact that readers have a part to play in the unfolding of the interaction. Exclamations, on the other hand, are manifestations of emotion and also seek to elicit involvement of some kind in the hearer. Since they are clearly interpersonal, audience-g geared features, questions and exclamations would be very useful components of an extended model of audience design; it would be particularly interesting to find whether there are any trends (e.g. towards adding such interpersonal cues, or, on the contrary, towards removing them from texts).

During the data cataloguing stage it was found that translators alter sentence and paragraph length in various ways. It is frequent in the corpus for ST sentences to be broken into two, three, or even more smaller units in the TT, and the same happens to longer sequences such as paragraphs. On the other hand, there are occurrences of shorter ST sentences being linked into a longer sentence in the translation. Our preliminary analysis of a number of such shifts seems to point to the fact that a 'levelling out' is in operation in the corpus, whereby very long ST sentences are split into a number of shorter TT sentences, and short ST sentences are compounded into longer sentences - even in cases where ST usage is clearly marked, and an important stylistic feature of the text. This 'levelling out' is probably an indication of textual conventionality and of normalisation, which translators possibly assume will be approved by target audiences, or which they assume to be norms of the target literary system with regard to translated fiction. 'Levelling out' may also be linked to an endeavour to ease the target readers' processing effort, which in turn points to possible translator (or perhaps publisher) assumptions that readers are less prepared to invest effort in reading the translation, or that they are less interested in innovation (although in the case of literature this is part of genre conventions!).

It has been pointed out (e.g. by Blum-Kulka 1986) that shifts in types of cohesive markers, additions, or deletions, affect translations in terms of increasing or decreasing the target text's level of explicitness compared to the original, and that the tendency in translations is for this to happen in the direction of [+ explicitness]. Toury (1995: 227) suggests that there is an obvious correlation between explicitness and readability. Junction shifts have been catalogued in this study, and it was found that shifts concerning additive, adversative and temporal junction are far more frequent than other types of junctives (e.g. causal). It seems that there is an overall tendency in all sub-corpora<sup>28</sup> to add extra junctives<sup>29</sup> (particularly additive junctives, the most frequent being 'and') as long as they do not occupy a sentence-initial position. In-depth analysis of junction shifts in the Romanian-English corpus could tell us what the effect of adding junctives can be assumed to be, and what the implications are for audience design (for a study of junction in literary translation, see Mason's 2001 analysis of Camus' *L'Etranger*).

A number of various types of translator interventions in texts was catalogued, such as expansion of condensed passages or, on the other hand, simplification and removal of words, phrases, and even entire sentences, completing sentences which are left unfinished in the original, and shifts in punctuation (an analysis of some such interventions in texts is the case study in 5.3.1). Most of these shifts could be interpreted as instances of simplification, explicitation and normalisation, within the framework outlined by Toury (1995), Baker (1993 and 1995), and Laviosa-Braithwaite (1998: 288-90). They are similar to the findings of Vanderauwera's (1985a and b) studies of Dutch novels translated into English. While extremely valuable in describing what happens in translation as compared to original texts, these findings need to be systematically investigated in order to ascertain their frequency and importance within the overall translated text (i.e. to see if there are patterns). Instances of simplification, explicitation and normalisation then need to be explored in terms of their links to the

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<sup>28</sup> There are, however, exceptions to the trend, in that not all individual samples conform along all junction types investigated.

<sup>29</sup> In the R sub-corpus, 28 additive junctives are removed but as many as 65 are added via translating, in the B sub-corpus an equal number of additives are removed and added (38), and in the M sub-corpus 39 are removed but 69 are added. The numbers of occurrences for adversatives and temporals are lower in all sub-corpora, probably because the occurrences of this type of junction are less frequent than additives in the original texts in the first place. Adversatives: 4 are removed and 6 added in the R sub-corpus, 10 removed and 14 added in the B sub-corpus, and 4 removed and 14 added in the M sub-corpus. As for temporals, 5 are removed and 15 extra added in R, 6 removed and 13 added in B and 1 removed versus 11 added in M.



interactive dimension of writing, translating and reading, if their relevance for audience design is to be evaluated.

In conclusion, further research on audience design in translation might wish to focus on extending the model for analysis to be used, and shifts in junction, rhetorical questions, exclamations, or sentence and paragraph length, are viable candidates for inclusion. It has not been our purpose to present an in-depth analysis of them here; rather, some preliminary findings have been included in spite of their inconclusiveness, in order to point to the complexity of phenomena occurring in the translations, to provide a background which should allow the impact on audience design of shifts involving deixis and presupposition to be seen in a larger perspective, and to suggest avenues for further research into audience design in translation.

## **6.6 Concluding remarks**

The perhaps surprising uniformity with which the distancing trend manifests itself throughout the corpus (with very few exceptions), combined with the nature of the translational activity (reproducing somebody else's text, in another language, at a different time, in a different place and for a different audience), generate the hypothesis that distancing *might* be a general tendency in translation, of a similar status to what have been called 'the universals of translation'. The universals so far suggested and investigated by previous researchers (e.g. Toury 1985 and 1995; Blum-Kulka 1986; Vanderauwera 1985a and b; Baker 1993 and 1995) are explicitation (evidence supporting this hypothesis is also present in this study), normalisation, simplification, and generalisation. Ascertaining whether distancing is indeed a general tendency in translation would have to be the subject of further research involving other languages besides Romanian and English, as well as a variety of genres.

## CHAPTER 7

### CONCLUSIONS

#### 7.1 Summary of the aims, objectives, and methods of the study

The broad aim of this study has been to investigate audience design in literary translations (prose only) from Romanian into English. More precisely, starting from the assumption that audience design of some kind is always present whenever language is used, it has sought to explore the nature of audience design in a purpose-built corpus of literary translations.

In order to investigate the above issues, a number of sources were drawn on, most notably from the fields of pragmatics, translation theory, and sociolinguistics. It was crucial, firstly, to establish the applicability of audience design to the study of translation (which is the main assumption this study is based on), and then to design a methodology suitable for the study of audience design. A corpus has been used in order to ensure a systematic approach; it includes translations into English and their Romanian source texts which fulfilled strict criteria for inclusion. Systematically selected samples from the corpus were studied using a pragmatics-based model for the analysis of non-obligatory translational shifts, which was designed in view of the aims and objectives of the study. Deixis (temporal, spatial, and person) and presupposition (existential and cultural) were the main components of the model for analysis.

Quantitative (Chapter 4) and qualitative (Chapter 5) methods for analysis were used; while the former were particularly useful in pointing to trends (i.e. in demonstratives, adverbs, and articles), the latter looked at shifts and the interaction of different types of shifts in the actual translated texts compared to the originals, and endeavoured to assess their contribution to shaping the audience design of translations, as well as to discuss some of the potential factors which may be involved. Two case studies were used to explore audience design in longer text units.



## 7.2 Main findings of the study

A number of findings emerged from the analysis, but those which are most significant are *the distancing nature* of the audience design in the translations in the corpus and *the remarkable consistency of distancing* across the entire corpus.

The numbers of occurrences presented in Chapter 4 pointed to the existence of a [+ distance] trend in demonstratives and adverbs, and a [- definite] trend in articles, in each of the three sub-corpora and in virtually all the individual samples under analysis. Admittedly, the strength with which the pattern manifests itself differs between sub-corpora and between individual samples; thus, it appears that Romanian translators use more [+ distance] and [- definite] shifts compared to English-native speakers from the B sub-corpus. The fact that the nature of the trend is consistent throughout the corpus, in spite of the variety of texts, original authors, translators and circumstances of publication, is, nonetheless, striking.

The analysis in Chapter 5 pointed to the fact that the overall use, in the translations, of more distal demonstratives and adverbs, of more past tense verbs, and in some cases the mere omission of ST proximal demonstratives and adverbs, creates a different spatial, temporal, and, ultimately, psychological positioning of the target readers compared to the way in which the source text audience was positioned. Spatial, temporal and psychological distance between the text and the audience is emphasised in the text, thereby conveying an implicit assumption about the extent to which target readers are expected to become involved; the translations in the corpus expect less reader-involvement compared to the Romanian originals. The [- definite] pattern of article shifting, on the other hand, means that less is assumed in the translations compared to the source texts, and this is also the trend with respect to cultural presuppositions. Since analysis demonstrates that such shifts frequently occur in circumstances where it can reasonably be claimed that what is really assumed in the ST is not a specific piece of information, but, rather, the readers' co-operation and readiness to consider themselves part of the same in-group as the author, it becomes clear that shifting re-draws boundaries between participants on the one hand, and participants and text on the other. Thus, the [+ distance] trend in deictics and [- definite] trend in presupposition act together in positioning readers in particular ways; it is these two trends considered

together which constitute what we have called *the distancing trend* in translating literary prose from Romanian into English. The study does not claim that source texts are characterised by overall approximating and translations are characterised by overall distancing; rather, it is argued here that the distancing discourse introduced in translation is a matter of degree, rather than of absolute presence or absence of distancing.

Besides identifying patterns and exploring the way they work in the actual texts, the analysis in Chapter 5 also discusses factors which could potentially be involved in shaping the distancing audience design in the corpus. It suggests that translator accommodation to (the assumed needs, expectations, values, and position of) the audience, politeness considerations, as well as assumptions about relevance, may all be involved. Furthermore, the analysis points to the fact that, in addition to being indicative of the translators' relationship with and assumptions about the audience, the trend is also revealing of the translators' own positioning towards the text itself, and towards the original authors. This is because distancing may also be partly accounted for in terms of translator dissociation from the ideas, events, characters in the text, and therefore from the point of view of the ST author.

Interpreting non-obligatory translational shifts from an audience design perspective has proved to be a less-than-straightforward process because a variety of considerations besides audience design could also be involved in shifting, most notably differences in conventions of usage between English and Romanian, and genre conventions (which are discussed in the analysis in Chapter 5). However, although methodologically difficult, it is still possible for (qualitative) analysis to distinguish between cases where audience design is involved and cases where shifts are more plausibly explained by factors other than audience design.

While the investigation here is focused on audience design as a major factor in shaping translations, this study does not seek to claim that audience design in itself is sufficient as an account of translation<sup>30</sup>. What is suggested, however, is that audience design is a *necessary* component of a full account of the processes involved in producing translated texts.

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<sup>30</sup> As Gutt (e.g. 1991/2000) does, in the case of Relevance.



### 7.3 Original contribution

Although a considerable amount of work has focused on the interactive nature of written texts, with recent studies advocating the interpersonal, communicative dimension of literature and of translation, very few studies to date (see, however, Mason 2000) investigate audience design (in Bell's 1984 sense) in translations and translating. Mason (2000) points to the usefulness, within a target-oriented approach to translation, of studying audience design; he discusses possible ways of undertaking such research, and illustrates the types of findings which can be expected; he does not, however, work on literary texts, and does not use a corpus. The present study, then, is the first attempt to investigate audience design in literary translation, using insights from Bell (1984). According to information to date, it is probably the first corpus-based study of literary translation from Romanian into English.

The proportion of corpus-based research which takes a pragmatics/discourse analysis angle has so far been relatively small (McEnery and Wilson 1996: 98), mostly because pragmatics is more amenable to qualitative analysis than to the quantitative methods which are suitable for large collections of texts. In this respect, also, the present study has taken a tentative step forward. Systematic analysis of a corpus, rather than of isolated texts (as is the case in many previous pragmatic analyses of translation), is performed here using both quantitative and qualitative methods for analysis, thus combining the objective count of occurrences with the contextualised analysis required in a pragmatics-oriented approach.

The model for analysis used in this research has been designed specifically for the investigation of audience design in (literary) translation. In creating this model, the present study has drawn on previous research which conducts pragmatic analyses of written texts, e.g. Fawcett's (1998) study of presupposition, Richardson's (1998) work on deixis in translation. However, the particular model (toolkit) arrived at, comprising both deixis and presupposition, has not been used before for the purpose of investigating audience design.

Finally, the identification in the corpus of a distancing trend in the translation of both deixis and presupposition is an important finding of this study, not only because of what

this tells us about audience design, but also because the analysis points to specific ways in which deixis and presupposition, as interpersonal features in texts, work together to position participants.

#### **7.4 Limitations of the study**

As is the case with any research, the present study is subject to a number of limitations, which we now examine in turn.

The first limitation concerns corpus methodology. It has indeed been argued in this study that the use of a corpus carries multiple advantages, most notably with respect to the representativity and generalisability of the findings. On the other hand, however large, corpora themselves are just samples of a larger population; in the case of the present research, the corpus used is comprised of the entire population under investigation (translations which fulfilled the criteria for inclusion, and their respective source texts), but only samples from this corpus have been (manually) analysed. Although the process of sampling has been conducted in a systematic way, on the basis of strict and defensible criteria, and although spot-checks were conducted outside the samples, it is not possible to have the same degree of confidence about the generalisability of the findings to the entire corpus as one could have if the entire corpus were analysed; this is especially so because of the diverse nature of literary works. Finally, findings cannot be generalised to literary translations from Romanian into English which have not been included in the corpus (e.g. from genres such as autobiography or children's literature); in order to be able to do so, the corpus would need to be enlarged so as to comprise other genres besides those examined here, and to include translations published in countries other than Romania or the UK. Of course, the limitation with respect to the size of the corpus is essentially a limitation of the method of analysis used here, namely manual analysis. Computerised analysis could have managed larger amounts of text, and would therefore have allowed for a larger corpus; however, for the reasons discussed in Chapter 3, manual analysis was preferred in this study.

A further limitation concerns the particular model for analysis which has been used. The model for analysis, based on deixis and presupposition, is not all-encompassing, in



the sense that it does not cover all the potential aspects of audience design in a translated text. The fact that it has proved to be particularly suitable for investigating the nature of the audience design in our corpus must not blind us to the fact that other types of audience design, besides distancing or approximating, may exist (or co-exist), and their identification may require different tools for analysis (see 6.5).

Finally, this study mainly draws on textual evidence interpreted from the perspective of pragmatics, and on contextual evidence obtained from prefaces, the dust-jacket of translations, and from the literary and socio-political real-world environment. As is the case with any method of investigation, the method used here carries, besides its obvious advantages, some inherent limitations. The fact that it does not allow claims to be made about deliberateness or motivation, and that it does not seek to match textual findings with evidence from the individuals involved in translating the particular literary works under examination, are the most significant.

### **7.5 Indications for further research**

There are various ways in which the study of audience design in literary translations could be taken further, most of them prompted by the limitations of the present study.

An obvious development would be to computerise the corpus, which would allow for more text to be processed (e.g. entire novels, rather than samples from novels). At the same time the corpus could be enlarged to include other genres, such as autobiography, children's literature, or philosophical essays. Computerised analysis would facilitate comparisons between different sections of the corpus (e.g. between women translators and male translators, or between different genres); the trends could also be compared with findings from other computerised corpora such as the Translational English Corpus.

Another way forward concerns the model for analysis to be used. It has already been pointed out that the model for analysis used in this study enables the investigation of a limited number of aspects of audience design, and that extending the model for analysis to include other parameters besides those used here might be required if a more comprehensive account of audience design is to be arrived at. Computerising the corpus

would, in any case, require a different toolkit for analysis, possibly no longer based on translational shifts in the way they have been observed here, but on overall frequency lists in STs compared to TTs. At the same time, machine-countable items such as junctives would have to replace less countable ones such as cultural presuppositions.

Yet another potential development would be to design an ethnographic study involving translators, publishing houses, and readers, to conduct interviews and to send questionnaires; findings could then be compared with textual evidence. In the particular case of the Romanian-English translational corpus, which includes some translations which date back as much as half a century, the practical difficulties of carrying out such a project (see 3.8) rather point to the fact that, perhaps, the methodology would be more appropriate for a study of audience design in recent translations.

Future research could, for instance, compare the audience design of translations from Romanian literature into other languages besides English, or of Romanian non-literary texts into English, investigate styles of audience design in translations by different translators, or look at several literary genres; alternatively, in-depth studies of the nature of audience design could be carried out on a single translation or on a small number of translations (e.g. of the same work, for instance) which could then be compared. Clearly, audience design offers a variety of avenues for further exploration.



## APPENDICES

### APPENDIX A

#### TARGET TEXTS IN THE CORPUS

##### The R sub-corpus

**Eminescu, M. *et al.*** (1981) *Romanian Fantastic Tales*, Bucharest: Minerva Publishing House. Transl. by A. Cartianu.

**Negruzzi, C. *et al.*** (1983) *History and Legend in Romanian Short Stories and Tales*, Bucharest: Minerva Publishing House. Transl. by A. Cartianu.

**Petrescu, C.** (1958) *A Man amongst Men*, vol. 1, Bucharest: Foreign Languages Publishing House. Transl. by E. Farca; verses transl. by D. Duțescu.

**Petrescu, C.** (1957) *Gathering Clouds*, vol.1, Bucharest: Foreign Languages Publishing House. Translation published under the author's supervision.

**Popovici, T.** (1957) *The Stranger*, Bucharest: Foreign Languages Publishing House. Transl. by L. Marinescu.

**Preda, M.** (1957) *The Moromotes*, Bucharest: Foreign Languages Publishing House. Transl. by N. Mișu.

**Rebreanu, L.** (1986) *Adam and Eve*, Bucharest: Minerva Publishing House. Transl. by M. Bogdan.

**Sadoveanu, M.** (1958) *Evening Tales*, Bucharest: Foreign Languages Publishing House. Translators' names not mentioned; probably E. Farca, L. Marinescu, S. Radu, and V. Alexandru.

**Sadoveanu, M.** (1981) *Creanga de aur/The Golden Bough*, Romanian-English bilingual edition, Bucharest: Minerva Publishing House. Transl. by E. Farca.

**Sadoveanu, M.** (1983) *The Hatchet*, Bucharest: Minerva Publishing House. Transl. by E. Farca.

**Voiculescu, V.** (1986) *Tales of Fantasy and Magic*, Bucharest: Minerva Publishing House. Transl. by A. Cartianu.

### **The B sub-corpus**

**Eliade, M. and M. Niculescu** (1969/1990) *Fantastic Tales*, London: Forest Books. Transl. by E. Tappe.

**Rebreanu, L.** (1964) *The Uprising*, London: Peter Owen. Transl. by P. Crandjean and S. Hartauer.

**Rebreanu, L.** (1965) *Ion*, London: Peter Owen. Transl. by A. Hillard.

**Rebreanu, L.** (1967) *The Forest of the Hanged*, London: Peter Owen. Transl. by A. V. Wise.

**Stancu, Z.** (1969) *A Gamble with Death*, London: Peter Owen. Transl. by R. A. Hillard.

**Stancu, Z.** (1973) *The Gypsy Tribe*, London: Abelard-Schuman. Transl. by R. MacGregor-Hastie.



## **The M sub-corpus**

**Creangă, I. et al.** (1971) *Romanian Short Stories*, London: Oxford University Press. Transl. by S. Trifu.

**Popescu, D. R.** (1987) *The Royal Hunt*, London: Quartet Encounters. Transl. by J. E. Cottrell and M. Bogdan.

**Sadoveanu, M.** (1953) *Mitrea Cocor*, London: Fore Publications. Transl. by P. M.

**Sadoveanu, M.** (1954) *Ancuța's Inn*, Bucharest: 'The Book' Publishing House. Translator's name or initials not mentioned.

**Sadoveanu, M.** (1954) *Tales of War*, Bucharest: 'The Book' Publishing House. Translator's name or initials not mentioned.

**Stancu, Z.** (1952) *Barefoot*, London: Fore Publications. Transl. by P. M.

## APPENDIX B

### TARGET TEXTS FROM WHICH SAMPLES FOR ANALYSIS WERE TAKEN

#### The R sub-corpus

**Caragiale, M.** (1981) 'Remember'. In *Romanian Fantastic Tales*, Bucharest: Minerva Publishing House, 165-83. Transl. by A. Cartianu.

**Delavrancea, B.** (1983) 'Şuer, the Whizzing Wind'. In *History and Legend in Romanian Short Stories and Tales*, Bucharest: Minerva Publishing House, 103-8. Transl. by A. Cartianu.

**Galaction, G.** (1981) 'Călifar's Mill'. In *Romanian Fantastic Tales*, Bucharest: Minerva Publishing House, 48-56. Transl. by A. Cartianu.

**Petrescu, C.** (1958) *A Man amongst Men*, vol. 1, Bucharest: Foreign Languages Publishing House. Transl. by E. Farca; verses transl. by D. Duţescu.

**Petrescu, C.** (1957) *Gathering Clouds*, vol.1, Bucharest: Foreign Languages Publishing House. Translation published under the author's supervision.

**Popovici, T.** (1957) *The Stranger*, Bucharest: Foreign Languages Publishing House. Transl. by L. Marinescu.

**Preda, M.** (1957) *The Moromotes*, Bucharest: Foreign Languages Publishing House. Transl. by N. Mişu.

**Rebreanu, L.** (1986) *Adam and Eve*, Bucharest: Minerva Publishing House. Transl. by M. Bogdan.



**Sadoveanu, M.** (1958) 'The First Thorn'. In *Evening Tales*, Bucharest: Foreign Languages Publishing House, 225-33. Translators' name not mentioned; probably E. Farca, L. Marinescu, S. Radu, and V. Alexandru.

**Sadoveanu, M.** (1958) 'The Old-time Bee-fold'. In *Evening Tales*, Bucharest: Foreign Languages Publishing House, 285-92. Translators' name not mentioned; probably E. Farca, L. Marinescu, S. Radu, and V. Alexandru.

**Sadoveanu, M.** (1981) *Creanga de aur/The Golden Bough*, Romanian-English bilingual edition, Bucharest: Minerva Publishing House. Transl. by E. Farca.

**Sadoveanu, M.** (1983) *The Hatchet*, Bucharest: Minerva Publishing House. Transl. by E. Farca.

**Sadoveanu, M.** (1983) 'Prince Cuza'. In *History and Legend in Romanian Short Stories and Tales*, Bucharest: Minerva Publishing House, 120-6. Transl. by A. Cartianu.

**Stanca, D.** (1983) 'Seven Wooden Horns'. In *History and Legend in Romanian Short Stories and Tales*, Bucharest: Minerva Publishing House, 267-72. Transl. by A. Cartianu.

**Voiculescu, V.** (1986) 'Among the Wolves'. In V. Voiculescu *Tales of Fantasy and Magic*, Bucharest: Minerva Publishing House, 174-86. Transl. by A. Cartianu.

### **The B sub-corpus**

**Eliade, M.** (1969/1990) 'Twelve Thousand Head of Cattle'. In *Fantastic Tales*, London: Forest Books, 11-33. Transl. by E. Tappe.

**Rebreanu, L.** (1964) *The Uprising*, London: Peter Owen. Transl. by P. Crandjean and S. Hartauer.

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## APPENDIX C

### SAMPLES FROM THE SOURCE TEXTS<sup>31</sup> IN THE CORPUS

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