

CHAPTER ONE

THE OCCURRENCE OF SHIFTS AND THE QUESTION OF EQUIVALENCE IN TRANSLATION

1.1. Background

Translation can be defined as the 'replacement of textual material in one language (SL) by equivalent textual material in another language (TL)' (Catford, 1965:20). There are two important key terms in the definition: 'Textual' and 'equivalent'.

The term 'textual' means that the input for the translation process is 'text', rather than individual sentences. A text is a unit of language in use. It is best regarded as a semantic unit, which is encoded in sentences (Halliday & Hasan, 1976:1). Although, when written down, a text looks as though it comprises words and sentences, it is more significant as a realization of meanings.¹⁾ Of course the meanings have to be coded in words and structures in order to be communicated. In Larson's terms (1984:3), these words and structures are simply the 'forms' or the 'surface structure' of a language, as opposed to 'meaning'.

In translation, the 'forms' of the source language (SL) have to be replaced by the forms of the target language (TL). Yet the replacement is done by way of semantic analysis. What translators aim to hold constant in translation is meaning rather than form.

In order to find the meaning expressed, a translator needs to analyse not only the forms of the lexicogrammar of the SL text, but also the aspects of meaning embodied in the forms. He then needs to reconstruct using appropriate lexicogrammatical structures in the TL text.

Form and meaning are not in one-to-one relationship. Even within one language, meaning can be realized in different forms. Surface forms such

as 'John gives the rice to Susan' and 'Susan was given the rice by John' have the same pragmatic meaning but different forms, while 'John gives the rice to Susan' and 'John was given the rice by Susan' are closer in form but more different in meaning.

Even more so in translation, form and meaning in the SL and TL texts rarely correspond. For example, the word 'rice' in English would not exactly match the components or variables of meaning expressed in the words nasi 'cooked rice' or beras 'uncooked husked rice' or padi 'uncooked unhusked rice' in Bahasa Indonesia (henceforth BI). Thus while the meaning components of '(un)cooked' and '(un)husked' seem to be packaged together into the English form, it is not so with BI. The word rice is underdifferentiated in English relative to BI, or it is overdifferentiated in BI relative to English (Weinreich, 1963). So in the process of translating from BI into English or vice versa, there are often no simple equivalents of form and meaning, and mismatches (or 'translation shift' in Catford's term (1965)) such as shown above would be bound to occur.

Translation shifts also occur when there is no formal correspondent to the syntactic item to be translated.²⁾ Although both English and Indonesian grammar operate in the five ranks of 'sentence', 'clause', 'group/phrase', 'word', and 'morpheme', translation may require moving up and down the rank scale and cause different kinds of (syntactic) shifts, e.g. from a post-modifier in BI to an adjective or adjectival phrase in English.

In translation, therefore, there may be no simple way of replacing an SL item with a TL item. The SL and the TL items rarely have the same meaning in the full linguistic and pragmatic sense, though they can function in the same communicative situation and express the same purpose. So, SL and TL texts or items can be translation equivalents when they are interchangeable in a given situation (Catford, 1965:49). At this point,

we come to the second important key-term in the definition of translation, quoted at the beginning of this chapter, i.e. the term 'equivalence'. The central problem of translation practice is finding translation equivalents for a text in a given context. The problem is readily demonstrated through the example given above, concerning the word rice. The Indonesian word nasi will provide a translation equivalent for the English word 'rice' when it is used in the context of having dinner, but not in an agricultural text. TL equivalents have to be sought not simply in terms of the 'sameness of meaning', but in terms of the greatest possible overlap of situational range. Catford further adds that the general conditions for translation equivalence are: 'translation equivalence occurs when an SL and a TL text or item are relatable to (at least some of) the same features of situation substance' (1965:50). Of major importance in this general statement of the conditions governing translation is the implication that, for translation equivalence to occur, both texts must be relatable to functionally relevant features of the communication situation (Catford, 1965:94).

Relating all the features of substance proposed by Catford is demanding and often problematic when we come to seeking translation equivalence throughout the text, e.g. how many features of the text have to be related to ensure translation equivalence? Do different text types embody a characteristic set of situational features, so that some of the conditions of equivalence can be generalized? (narrative, for example, would have different situational features from hortatory discourse). Do particular types of text have characteristic configurations of meanings and ways of indicating prominence which need to be matched in the SL and TL texts.³⁾ When prominent features of a text are shifted in translation, clearly the text would not be as equivalent as a text in which the shifts do not occur.

A number of translation theorists have objected to the use of the term equivalence (See, for examples, Durisin, 1968, as quoted in van den Broeck, 1986; Holmes, 1978). However, both Durisin and Holmes approach 'equivalence' from the point of view of translating literary works. In the translation of poetry, as pointed out by Holmes, asking for equivalence is asking too much. The problem for him, of course, is that he sees equivalence simply as 'sameness' (i.e. an identical form for the translated literary piece). Durisin, however, sees it differently. To him, the translator of a literary text does not aim primarily at establishing equivalence, but rather to exhibit equivalence of artistic procedures. So the term equivalence, which Durisin regards as mainly connected with the transference of meaning, no longer applies. To him, literary translation is not only an exchange of linguistic codes, but should also be the transference of the literary work of art into another literary context. Yet this puts even higher demands on the notion of equivalence. Both literary translators ultimately make the matching of artistic forms more important than the matching of linguistic forms and meaning.

The majority of translations, however, are not concerned with the matching of artistic forms. Much of the translating done is of non-literary works. The fact that the concept of equivalence is problematic in the translation of literary work does not mean that we should abandon the concept altogether.

The term 'equivalence' should not be seen as a search for sameness as Holmes thinks it to be, nor should it be seen exclusively within one tradition of writing. Rather, it would be worthwhile reexamining the term and reevaluating the conditions associated with it, and at the same time involving more varieties of text. This reexamination is presented below.

1.2. The Problem: Translation Shifts and Textual Equivalence

In the following we will examine an SL text in Bahasa Indonesia, taken from a rather official periodical issued by the Indonesian Association of NSW in cooperation with the Indonesian Consulate General in Sydney. It is a carefully judged text, with an authority and weight behind it. The examination of the SL text will be focused on: (1) the global semantic organization of the SL text; (2) the important features of the SL text and the ways these features are expressed in the lexicogrammar; (3) the main patterns of cohesion in the text. We will then examine some translated (English) versions, in which translation shifts are pinpointed.

SL Text (Indonesian)

- 1) Masalah hubungan Indonesia dengan Australia
problem relation Indonesia with Australia

disampaikan oleh bapak August Marpaung
DI-deliver-KAN by mister name

- 2) Dikemukakan bahwa hubungan antara
DI-put forward-KAN that relation between

pemerintah Indonesia dan pemerintah Australia
government Indonesia and government Australia

pada umumnya dianggap cukup baik dan banyak
in general DI-consider enough good and much/many

mengalami perkembangan yang berarti
NG-experience improvement which meaningful

akhir-akhir ini
late late this

- 3) Namun diingatkan agar masyarakat Indonesia
but DI-remind-KAN that community Indonesia

selalu waspada terhadap informasi yang
always vigilant towards information which

disebarluaskan pers Australia
DI-disseminate-KAN press Australia

- 4) Selanjutnya dijelaskan bahwa dalam situasi
then DI-explain-KAN that in situation

resesi dunia seperti sekarang ini
recession world like now this

pembangunan di segala bidang mengalami
development in all sector NG-experience

hambatan
obstacle

- 5) Namun secara keseluruhan pembangunan Indonesia yang
but manner general development Indonesia which

dikenal dengan PELITA dianggap cukup berhasil
DI-know as PELITA DI-consider enough successful

("Bulletin", Indonesia Association,
Vol. 1, No. 4, 1986)

Notes:

1. Numbers indicate numbers of sentences
2. Underlining indicates sentence topics
(topic-comment notions are explained below,
and explained further in Chapter Three)
3. /DI-/ is a verbal prefix to indicate foregrounding
and /NG-/ is a homorganic nasal verbal prefix to
indicate backgrounding
4. PELITA stands for Pembangunan Lima Tahun (The
Five-year Development Plan)
5. /-KAN/ indicates a tie with an object position,
but not necessarily benefactive.

The SL text was written as a report of statements concerning certain government affairs, foreign and internal. The foreign affairs, which concern the relations between Indonesia and Australia, are expressed in sentences 1, 2, and 3. The internal affairs, which are related to the development of the country, are expressed in sentences 4 and 5. These affairs form two semantic groupings in the text, and these groupings are related to each other through a conjunctive relation with selanjutnya 'next'.

That the text is a report is evident in BI by the dominance of the verbs with /DI-/ prefix in the sentences of the text. There are two basic functions of /DI-/ clauses here (there are of course other functions when they occur in different text types. See Chapter Four). In this text they

function as: (i) true passives in sentences (1) and (5); (ii) verbal foregrounding in sentences (2) to (4). The true passive is evidenced by the presence of the patient subject, e.g. 'Masalah hubungan ... Australia' in sentence (1). The verbal foregrounding can be seen from its initial position in sentences (2) to (4) immediately after the conjunctions which must be initial.

In general, the purpose of the use of /DI-/ clauses in this report is to make statements impersonal and to imply an authoritative voice (rather than an expression of personal opinion). The verbal foregrounding (thus making the verbs prominent) is additional evidence that the verbs are more prominent than the agents, although the agent is lexically expressed as in first sentence.

The verbal prominence above is an indication that what was said is more important than by whom it was said. In fact, the /DI-/ prefix in sentences (2) to (4) can be interpreted as the proclitic (thus nonprominent) form of Dia 'he/she' (Thomas, 1978). As such, it is a case of grammatical subject suppression.

Apart from its functions in the lexicogrammar as explained above, the /DI-/ prefix in the SL text also provides cohesion in (1) to (4), and in the main clause of (5). The cohesion is through a covert co-referentiality to /DI-/ in (1).

Having examined the semantic structure of the SL text, we will examine some TL versions, and the shifts that occur. The first TL version to be examined is TL text A:

TL text A

- 1). The problem of relation between Indonesia and Australia was presented in speech by Mr. August Marpaung
- 2). It explained that in general the relations between the Indonesian and the Australian governments have been

considered good and meaningful improvements have been achieved.

- 3). But it warned Indonesians to be always vigilant towards the information which is disseminated by the Australian Press
- 4). Besides, it explained that in the present situation of world recession, the development in various sectors was slowed down
- 5). But in general the Indonesian Development referred to as PELITA had been considered successful

Notes:

1. Underlining indicates sentence topics (sometimes preceded by conjunctions)
2. Numbers indicate sentences
3. See Notes on the SL text for PELITA

In comparing the TL text with its original version, it is important to recall that impersonalization (or subject-suppression) is an important feature in the SL text. Such impersonalization is expressed in sentences 2 to 4 of the TL version through the use of the impersonal subject 'it'. (There are other ways of expressing impersonalization in English, but TL text A here uses 'It' as a subject). In sentences 1 and 5, such impersonalization is expressed through the use of passive sentences, which is also the case in the SL text. We will concentrate on sentences 2 to 4 in the discussion that follows, since they are the ones which show the greatest divergence between the Indonesian sentences and their English translations.

On comparing sentences 2 to 4 in the SL and TL versions, we note a case of translation shift in the foregrounded element: a subjectless verb in the SL is expressed using the dummy subject 'it' in the English version. This shift is a matter of conforming to the norms of expression in the TL: unless the verb is an imperative, it cannot occupy the position of sentence topic (which is normally in the initial position in English). Such a shift is a natural consequence in the translation from Bahasa (BI) into English.

Apart from this shift, there is also a shift in subtlety or indirectness of expression in the translation. An example of this is at the end of sentence 3. The absence of oleh 'by' following the verb disebarluaskan 'disseminated' in the SL shows that there is a subtleness of relation between the action of disseminating and the disseminator. Thus although the agent is in the domain of the sentence comment (and is part of the focus of information), the absence of oleh avoids making it focal. Possibly, the purpose of this is to lessen the political burden of such action on the agent, the disseminator of information (compare it with sentence 1, where oleh is present). This subtlety is necessarily lost in the English version, because statements of agency must involve the word "by". The presence of the word "by" in the third sentence of TL A makes the agent as conspicuous as in the first sentence.

In the translation we have just examined, the shifts were in each case obligatory, necessitated by the grammar of English. Yet in neither case do they alter the overall intention/purpose of the text. Both show the characteristic feature of a (speech) report, and the impersonalization expressed in the original text is rendered in the TL version. In this way, TL text A can be said as 'textually equivalent' to its original version.

A second translation of the same SL text (i.e. TL text B) shows a different interpretation and raises different issues. This TL version contains shifts affecting the prominent elements of the text, which can cause a mismatch of text (sub) type in the translation. Consider the following:

TL Text B

- 1). The problem of relations between Indonesia and Australia is discussed by Mr. August Marpaung
- 2). He explains that in general the relations between the Indonesian and Australian governments have been considered good and have proved to be advantageous

- 3). But he reminds the Indonesian community to be always vigilant towards the information which is disseminated by the Australian Press
- 4). In addition, he explains that in the the present situation of world recession, the development of various sectors has been slowed down
- 5). But he considers that in general Indonesian Development, through PELITA program, has been successful

Notes:

See TL text A for notes

In TL text B we can see certain shifts from the original version: (i) shifts affecting the verbal foregrounding; (ii) shifts of referential meaning in the expression of tenses. We will examine each in turn, and consider to what degree each poses problems of equivalence in translation.

The first kind of shift are ones affecting the textual prominence. The translator of TL text B has put the agent (Mr. August Marpaung) in the topical position of most of the sentences of the text. The main burden in the translation rests with the pronoun 'He' as part of the topic of the sentences. In this way, TL text B is more personal rather than impersonal; it is more a person-oriented account than a speech-oriented one. The translator has made explicit the subject that was suppressed by the use of /DI-/ in the original. The English version puts the personal figure 'August Marpaung' (rather than his speech) as part of the sentence topic and foregrounds him, rather than as part of the reporting verbs (explains, reminds, etc). This is not the case with the SL version.

The above shifts from impersonalization to personalization in TL text B are caused by the fact that the translator has made the 'sayer' topical rather than the 'saying'. In this way, we may be inclined to think that TL text B is not really equivalent to the SL text, since it does not fully convey the impersonal intent of the original writer. However, when we look at the lexical rendering we could still say that TL text B is referentially equivalent, because the lexical items in it are successfully matched.

We would not wish to say it is not equivalent to its original version, since that seems to imply that it is not a translation of the SL text. A more exact judgement would be that through correct rendering of the lexical items of the SL text, TL text B remains a report, although it shifts the tenor of the original.

Supposing that personalization is the only kind of shift occurring in TL text B, we could, tentatively at least, still consider TL text B as equivalent to the SL text for the reason that it remains a report. Unfortunately, this is not the only kind of shift occurring in TL text B. It also diverges from the original in the expression of tenses. The SL text is neutral in its tense, so the fact that the TL version B uses present tenses would suggest to the reader that it is NOT a case of formal report, since a report of this kind would normally be expressed in past tense in English. In this way, it transcends the boundary of the genre. As such, we can see TL text B as generically different from both TL text A as well as the SL version. It becomes an expository writing with a perennial relevance. So there is a definite shift of purpose.⁵⁾ In fact the shift of tenses represents a shift of referential meaning as well, and indicates that it should be regarded as a case of mistranslation. So, based on these phenomena, the TL version cannot be accepted as equivalent.

All this suggests that the conditions of translation equivalence should include both generic maintenance and the exact rendering of referential meaning. The question arising now is: Since TL text B is not completely equivalent to its SL version, is it or is it not a translation? Our answer to this question is that it can at best be considered a partial lexical translation, which is not fulfilling the task of translating properly. In ideal/total translation (i.e. what is normally practiced), all the important aspects of meaning are expected to be rendered. In a partial

translation, only some aspects of meaning are rendered, and, often (as in the case of TL text B), important aspects of the text are shifted or even mistranslated.

Thus far, we have explained that the conditions for accepting or rejecting a TL text are based on the shifts which have a pervasive global effect. We can also imagine a TL text in which the shifts occurring are not global. It is possible to imagine a TL text where the shifts of topicalizing the person (rather than the speech) occur only in one or two sentences of the TL text. In this way, the shift is localized and only represents a temporary shift in tenor, without affecting the overall intention of the TL text. As such, the imaginary TL version can still be considered a translation equivalent, provided the remaining features of situation substance correspond.

Clearly there are more aspects or facets to equivalence than are often recognized. Therefore we can think of equivalence as a multi-faceted concept, since a text is not a realization of just one kind of meaning. Texts embody several kinds of meaning. Thus the concept of equivalence can be viewed in terms of the degree to which these aspects of meaning are represented in the translation. Just what the dimensions and facets of the concept are, will depend on the type of text to be translated. This is one of the concerns of this study. Without viewing equivalence in this way, there can never be an equivalence (even partial one), since, somehow, some stress, some aspects of meaning, emphasis, etc. can be lost in the translation from one language to another, and shifts are bound to occur. This is especially the case when the languages involved in the translation are languages which are differently structured, as is the case with BI and English.

1.3. Issues Arising

In tentative conclusion, we can say that because elements of grammatical structure in BI are different from those in English, translation shifts are likely to occur at various points and levels of the text. When the shifts affect the prominent elements which characterize the type of the text (e.g. verbal foregrounding in speech-oriented account), a further shift may occur, such as a shift of text type.

Under the proposed conditions of 'textual equivalence', in which the genre (and thus intention) must be maintained, a TL text could be ruled out as being textually equivalent if the shift of text type occurs. However, this may not necessarily be the case if the referential meaning still matches the original version. This will depend on the view that we accept on translation (as discussed in Chapters Nine to Eleven).

In the following, we will summarize the previously discussed problems in the form of research questions, in order to lead us to the development and formulation of hypotheses in Chapter Two.

- (1) How and when do shifts of sentence topic occur in translation between BI and English?
- (2) In what way do shifts of sentence topic interrelate with higher generic prominence, such as topical progression and cohesion?
- (3) Can shifts of sentence topic and/or prominence affect the genre and the intent of the text?
- (4) What are the conditions required for a TL structure to be considered equivalent or not equivalent to the SL version?

These are the central questions that will be explored and solved in this study. In order that the study remains within certain conceptual bounds, a number of hypotheses are formulated in Chapter Two.

Footnotes for Chapter One

- 1). Larson (1984:36) views a text as an embodiment of referential, organizational and situational meanings. (In Halliday's terms (1978), they correlate with ideational, textual, and, to some extent, interpersonal meanings. But while Halliday's concepts are mostly applied to the description of English, those of Larson's have been applied in the translation of certain Amerindian, Asian, African languages into English, and thus have had a wider application)

When a word refers to a certain thing, event, attribution, or relation which a person can perceive or imagine, it is said to have referential meaning. Referential meaning is what the communication is about. It is the information content, e.g. when we refer to fruits produced by a certain tree as 'apple'. Organizational meaning means the putting together of referential information into a coherent whole. Organizational meaning is signalled by deictics, repetition, groupings, topic-comment structures, etc. Situational meaning is an encoding of the interpersonal aspect of communication, such as speaker-addressee relationship, their social status, age, as well as setting and purpose of communication.

- 2). "A formal correspondent is any TL category (unit, class, structure, elements of structure, etc.) which can be said to occupy, as nearly as possible, the 'same' place in the 'economy' of the TL as the given SL category occupies in the SL. Since every language is ultimately sui generis (....), it is clear that formal correspondence is nearly always approximate." (Catford, 1965:27).
- 3). According to Larson (1984:365), any kind of discourse genre has prominent elements, e.g. mainline events in narrative, proposed actions plus reasons in hortatory discourse, and so on.
- 4). Topic is a concept in the topic-comment structure. Larson (1984:257) sees topic-comment notion as 'prominence within proposition'. What is being talked about is topic and what is being said about the topic is comment (termed theme-rheme by Halliday in 1967-68).

The comment is the naturally prominent part, since it contains information that the speaker wants to communicate. In a text, the same topic may occur in a number of propositions and become a theme for a larger unit (e.g. semantic paragraph).

- 5). Checkov, for example, objected when his "Cherry Orchard" (a comedy according to the writer) was translated into tragedy by the Theatre of Moscow of Art (Blum-Kulka, 1986). Although the change here is of different order, it is comparable to the change of writer's intention entailed in the generic shift, to which any writer would presumably object, as Checkov did.

CHAPTER TWO

RESEARCH METHODOLOGY

2.0. Introductory Remarks

In Chapter One we presented a description of the problems encountered in translating from BI into English, in terms of translation shifts and their interrelationship with equivalence. In this Chapter, we will present the research methodology to be utilized in the study. The sections covered in this Chapter are: 2.1. The rationale for the study; 2.2. Hypotheses; 2.3. The Data; 2.4. The subjects of the study; 2.5. Division of chapters in this thesis.

2.1. The Rationale for the Study

The study has the basic purpose of exploring and developing further Catford's concept of translation shift (1965:70-82) and of translation equivalence (1965:50). He has usefully categorized shifts of level, of structure, and of category, which are pertinent to the level of lexicogrammar. Since Catford, the notion of shift in translation analysis and translation practice has been explored further by a number of translation theorists and practitioners. Popovic (1970) refers to such shift as 'shift of expression'. He has usefully categorized different types of shifts: constitutive, generic, individual, negative, and topical. However, diverging from Catford, his analysis of shifts is mainly concerned with "the choice of aesthetic means" (1970:81). It is thus not suitable for our purposes, neither for analysing the transactional texts in this study nor for finding implications for translator training.

To some extent, the notion of shifts has also been explored by Blum-Kulka (in House, 1986:17), in relation to the shifts of cohesion and

coherence in translation. The shifts of cohesion are mainly concerned with the level of explicitness. The shifts of coherence are of two kinds: (a) reader-centred shifts, and (b) text-focused shifts. The shifts in (a) can result in a generic form which is very different from the original (e.g. from 'comedy' into 'tragedy' in literary genres). The shifts in (b) seem to be concerned more with the translator's inability to reexpress the SL text's original meaning.

In her analysis, Blum-Kulka merely proposes those shifts above as facts that occur in translation, without further questioning the status of the TL text (containing the shifts) as translation and as translation equivalence. This is also true in the case of shifts which Larson calls "mismatches of discourse structures" (1984:384), in which she does not indicate whether or not the mismatched TL text is acceptable and justifiable as a translation. So, although they (Blum-Kulka and Larson) indicate the occurrence of shifts of text type in translation, their notion of shifts (or mismatches) is not useful for purposes of evaluating translation work by student translators.

Van den Broeck (in House (1986:37)) has explored the notion of translation shifts occurring in the translation of cookery recipes. He bases his exploration on the theory of speech acts, and analyses the generic shifts that occur in terms of the 'cultural norms' expressed in the use of recipes. Useful as it is, the analysis has three drawbacks: (a) it only concentrates on the translation of cookery recipes; (b) what he calls 'cultural norms' are hard to prove linguistically (although indicators were given) as well as empirically (since only one text type is involved); (c) although his analysis implies insights for translator training, he does not clearly distinguish acceptable shifts from unacceptable ones. What is more, he considers translation and adaptation (where shifts of text type occur) as one and the same. So, like Blum-Kulka, his analysis is not sharp enough in setting limits for adaptation. Although he does imply that translators

do not simply indulge personal preferences in making the translation shifts, he does not indicate clearly how this is so.

Therefore, it is of utmost importance not only to relate the occurrence of shifts at the textual level to the notion of equivalence, but also to explore the limits and tendencies of such shifts. There are two main reasons why these are important: (1) to determine the limit of the shifts; (2) to determine the status of translation equivalence of the TL text containing the shifts. In this way, we need (a) a wider variety of texts to analyse, rather than concentrating on one type of text; (b) to explore the details of limits of shifts and the conditions of equivalence which have been taken for granted so far in translator training; (c) to draw the details mentioned in (b) from actual TL texts done by the student translators themselves. The variety of texts suggested to be analysed in this thesis is a variety of transactional texts (rather than the literary variety), since such texts are those which are actually used by the Indonesians (See Chapter Four for the types of text they use).

As far as varieties of text type in translation are concerned, a notable analysis is one by Reiss (as translated from German into English by Kitron (1981)). Here, Reiss proposes to have different modes and types of translation rather than concentrating on text types. Itself an important proposition, the analysis is not useful for translator training for two reasons: (a) Reiss seems to allow any kind of changes (intentional or otherwise) in translation. According to her, the most important questions in translation are: "to what end and for whom is the (SL) text translated?" Consequently, for her, a translation "should be adapted to the needs for the new language community" (Reiss, 1981:129). While such general translation guidelines can be useful for professional translators, it is not so for student translators. For one thing, the students' interlanguage competence is still limited, and for another thing, Reiss's concept above

could mislead them to think that translation can be a work of creation rather than recreation.

It is important to stress in this thesis that a translator's task is to recreate the aspects of meaning embodied in an SL text into the TL text. In this task, the concept of translation equivalence becomes a central issue (see Chapter One, p.1), since it is the basis of comparability between the SL text and its translation.

As quoted at the beginning of Chapter One, Catford believes translation equivalence should mean 'textual equivalence', so that texts rather than sentences are translated and compared. However, although Catford's concept of textual equivalence is advantageous, it suffers from the fact that he does not go beyond the sentence in his analysis of equivalence, let alone go beyond individual text types. Moreover, his general conditions of equivalence are too abstract to be applicable to a variety of text types (see Chapter One, p.4).

Apart from Catford, Nida (1964), whose work is notable in Bible translation, proposes 'formal equivalence' and 'dynamic equivalence' (rather than just one kind of equivalence) in translation. Useful as it can be for Bible translation, Nida's concept of dynamic equivalence does not do justice to language (i.e. more emphasis is given to the need of the readers), which is also the case with Reiss's concepts mentioned above (Cf. Nichols, 1981:243 and McGuire, 1980:26 on the criticism of Nida's concepts).

Other translation theorists have attempted further distinctions of equivalence. Popovic (1976) has categorized four kinds of translation equivalence: linguistic, paradigmatic, stylistic, and textual, although stylistic equivalence (which is more of an artistic concept) and textual equivalence seem to overlap. In any case, Popovic's analysis is more in the

area of literary translating, and is thus not really suitable for cases where other than literary texts are translated.

As noted in Chapter One (p. 2), certain translation theorists (such as Holmes) believe equivalence as a search for sameness, and consider it perverse to attempt it. Pretty much in line with this idea is van den Broeck (1978), who has challenged the use of the concept of equivalence in translation, which he considers excessively used.

However, as a work of recreation, translation must provide a point or a concept on which the TL text can be compared to its original version. This point or concept is none other than 'equivalence'. Indeed, equivalence is a much used and abused term in translation theory. But it is important to note here that the antagonistic views towards translation equivalence seem to be caused by the failure to keep in mind that what counts as equivalence is influenced by our theory of language, by what we view as a justifiable translation, and by the model of linguistic description used in the translation process.

Within the vast realm of translation studies and translation theories, the present study is aimed at developing Catford's theory of translation shifts, which requires us to revisit what he counts as the conditions of translation equivalence. Due to its shifts, a particular TL text may have to be judged differently from one without shifts or with little shifts. Based on this, different types of equivalence (and translation) may have to be postulated, which are relevant for translator training in Indonesia.

2.2. Research Hypotheses

2.2.1. Development of Hypotheses

It has been shown in Chapter One that translation shifts can affect the status of equivalence of the TL text as well as affecting the kind of

the translation, i.e. whether all aspects of meaning are translated or whether only some of them are rendered in the translation. In the latter cases, some kind of adaptation or mistranslation is involved. The term 'status of equivalence' should be taken as a hypothetical construct, since it is created in our attempts to answer a number of questions concerning equivalence (see p. 14).

We have shown in Chapter One that there can be two basic reasons for translation shifts to occur: (1) as obligatory (syntactic) consequence of the translation process; (2) as a result of the translator's discretion in negotiating the rendering of the SL meaning into the TL version. While the former emerge because of asymmetry in the surface structures of the two languages involved in the translation, the latter is a matter of translation strategy. We will call the former "obligatory shifts" and the latter "optional shifts".¹⁾

It has further been noted in Chapter One that the optional shifts seem to be the ones which cause the shifting of text type and sub-type, although it does not alter the possibility that obligatory shifts might cause such shifts. And it seems that these shifts affect the status of equivalence of a certain TL text (and its status as translation). So we can hypothesize that, although obligatory shifts might cause further shifts, it is actually the optional shifts that 'push' the TL text towards the boundaries of our concept of equivalence. This causes the TL version to be something other than "normal translation", in which all salient aspects of the text are subjected to the translation process and replaced (with matching items) during translation. The translator who resorts to optional shifts does not render all aspects of the SL text in a 'normal' way, by corresponding items in the TL. For the time being, we will refer to this as 'partial translation or translation with adaptation'.

To expand these notions, 'normal translation' should be seen as a hypothetical and ideal kind of translation, created in our attempts to distinguish it from 'partial translation or translation with adaptation'. Normal translation is entirely concerned with textual replacement, and its equivalence can be assessed solely on the basis of textual and lexicogrammatical considerations. On the other hand, 'partial translation' is a process of textual replacement in which the finding of points of comparability with the SL text extends beyond the text itself to addressing the TL context as well, e.g. the translator's motivation and, possibly, other factors such as the purpose of the translation, the TL audience, and its reaction towards the TL text, etc.

The readers' reaction towards the TL text, for example, can be seen in terms of whether or not a TL text is effective. When three native speakers of English were asked to compare TL texts A and B in Chapter One, they all considered TL text B as more effective. Their main reason was that official statements such as those in the SL text appeal to them more when the speaker reference is explicit (i.e. as in TL text B). So, we can hypothesize that although an adaptation may bypass some aspects of meaning of the original version, it can still be an effective translation.

Both of the above concepts (i.e. translation and adaptation) differ from mistranslation, which should be considered an unacceptable translation, because the referential meaning changes from the original. So holding the referential meaning constant seems to be the minimal requirement/conditions for a textual replacement to be considered a translation. However, in our case of TL text B in Chapter One, the shift of referential meaning affecting tenses has simultaneously indicated shifts of other textual aspects as well, including the text's original purpose.

Having distinguished 'adaptation' and 'mistranslation' from 'equivalence' we are now in a position to examine the conditions of

equivalence: Are the conditions the same for any text type? The textual constitutive features of one type of text are likely to differ from one type to another; to mention one feature, 'narrative' would typically have third-person orientation while 'hortatory' would typically be oriented towards the second person. So the conditions of equivalence would naturally be different for each text type (see Chapter Three for a further discussion of text types and their textual features).

Whatever the constitutive features of each text type, generic maintenance and the rendering of referential meaning should be the basis of any conditions of equivalence. So whatever impairs either of these aspects of a text must be the focus of attention in translating.

It is not just any feature of text type which has the potential to cause generic shift. Only shifts in the prominent constitutive features seem to cause generic shift, if of course they occur throughout the text. In TL text B we found a continuous, global shift in a prominent feature, and so a global shift of text type occurs. However, shifts of prominence can be local, and cause just a temporary shift of tenor. We have to recognize this as a special qualification to a general status of equivalence: a generic equivalence but with a local shift of tenor. In this case, the TL text may be considered a case of adaptation rather than a total translation.

In all this, we make the assumption that equivalence is multi-faceted, involving the various broad components of meaning (referential, organizational (or, in Halliday's terms, textual) and situational), as well as specific local details of prominence, and the ongoing interpersonal aspects. So when one of these features is shifted in translation, the TL text produced must have a different equivalence status from one which is not affected by shifts at all. Thus far, we have attempted to provide

certain hypothetical answers towards the central questions posited in Chapter One. We are now in the position to formulate the hypotheses, in the following.

2.2.2. Formulation of Hypotheses in the Translation of certain Indonesian Texts into English

H₁ Obligatory shifts at clause level will result from the attempts to reexpress foregrounding and other Indonesian forms of markedness.

H₂ Shifts at clause level will cause shifts at the textual level:

(a) obligatory shifts will cause shifts of cohesion

(b) optional shifts will cause (at least temporary) shifts in the intention of the text and perhaps ultimately in the text type or sub-type.

H₃ Local shifts of tenor, with no shift of text type, still allow the overall TL text to be considered a translation equivalent.

H₄ Optional shifts are the key factors in determining the status of equivalence of the TL text, and the type of translation.

H₅ Translation equivalence is multi-faceted, but equivalence in terms of both genre and the rendering of referential meaning is essential to it. When a shift of referential meaning occurs, the TL text constitutes a mistranslation.

H₆ Some adaptation in a translation may result in one which is more effective than that obtained through what we call normal translation.

2.3. The Data

2.3.1. The Data: General Description

The data consists of two groups of texts: SL texts and TL texts. There are eight SL texts, with ten TL texts for each SL version. The SL texts

were given as translation exercises to the students of an academy of foreign languages (as explained in section 2.3. of this Chapter). The sources of the SL texts and the circumstances of their publication were given to the student translators together with the SL texts.

The SL texts comprise four kinds of discourse: procedural, hortatory, expository, and narrative discourses (the discussion of these discourses is presented in Chapter Three). Each of these discourses has 'direct' and 'indirect' sub-types. So we have: direct and indirect procedural discourses, direct and indirect hortatory discourses, direct and indirect expository discourses, direct and indirect narrative discourses. The circumstances of each of these (e.g. the source, the readership, etc.) are presented in the following.

The direct procedural discourse takes the form of a recipe for making a natural face pack from avocado. The recipe contains a set of instructions: (i) for preparing the face pack; (ii) for applying it on the face. The text was taken from a widely circulated magazine for young (mainly female) readers called Gadis (Nov., 1983:89). It is published nationally in Indonesia and is mainly read by young readers aged 13-18 years. Apart from giving recipes as the regular feature of the magazine, it also contains other regular features such as stories, popular exposition about something, art and craft, general articles, etc.

The text (and the magazine) is meant to be for young readers, and so the writer maintains a close relationship with his readers though he places himself in a position of authority. This is shown by the use of the pronoun kau or /-mu/ 'close you', which are normally used among friends or by adults to children.²⁾

The indirect procedural discourse takes the form of a set of instructions for fish preservation. It was taken from a little bulletin Berita Kelompok (No. 4, 1980). The bulletin was made and circulated among

the members of a sipedas group in a hamlet near Malang, East Java.³⁾ The group consists of women readers (and listeners), who are housewives, school teachers, etc. Most of these people are literate. The little bulletin contains the summaries of practical and technical guidance previously broadcast through the radio. The summaries and the broadcast programs cover topics as practical as 'first aid' to those as technical as 'how to prepare the traditional medicine'.

Since the text is meant to be for older readers, the sentences in the text are not expressed using the friendly 'you' pronoun kau. Instead, the reference to 'you' is made less direct, so it sounds more like an unspecified addressee. The indirectness is realized in the text as indirect imperatives (explained further in Chapter Three as well as Chapter Four). In fact, such indirect commands can also be found in the nationally circulated magazines for older readers such as Femina, Kartini, etc.

The direct hortatory discourse takes the form of a text containing exhortations to friend(s). It was taken from a book entitled Himpunan Pikiran Pelajar 'A Collection of Students' ideas' (1976). The book is published in Jakarta and is circulated nationally among the schools and the students.

Since the exhortations are by young people themselves and are meant to be for their contemporaries, they are expressed in a direct way using clauses with mari kita 'let's'. When the exhortations are about a model of good behaviour, the writer switches from the inducement with 'we' to exposition with 'he'. However, the switch is only temporary and subsidiary to the overall purpose of the hortatory text type (see Text Hybrid in Chapter Three).

The indirect hortatory discourse is in the form of an address from an Indonesian army commander-in-chief to the general public. The address was

taken from a monthly magazine called Forum Pemuda 'lit. Youth Forum' (No. 85, January, 1987).⁴⁾ The address was written in commemoration of a certain landmark in Indonesian political history, i.e. the births of the New Order and of the so-called Triturain 1966. Tritura stands for Tri Tuntutan Rakyat 'Three Public Demands'.⁵⁾ His appeal is realized in the lexicogrammar as urgings with /-LAH/, and he provides objective arguments for action. At one point he uses the 'we' pronoun which evokes group solidarity, to be of one mind with the speaker. However, the regular use of /-LAH/ in the urging makes the exhortations less direct overall.

The direct expository discourse takes the form of a brief exposition concerning the origin and the development of Bahasa Indonesia from early Malay. It was taken from a book entitled Pelik-pelik Bahasa Indonesia 'Intricacies in Bahasa Indonesia' (1982:1). The exposition is direct and objective, with the expositor more of an observer than a participant in the text. The third person is used almost all the time. There is one clause in the text in which the writer involves himself through the use of the pronoun 'we', but it does not alter the overall direct mode of the text.

The indirect expository discourse is concerned with a brief popular exposition of idiom and how to translate idioms. The text appeared in the magazine for young readers mentioned earlier, i.e. Gadis (Nov., 1983). The exposition is indirect because the writer collaborates and involves himself in the text, through the use of the pronoun 'we' in many of the sentences. Although in some sentences the writer has attempted to adopt the observer role (using third person pronouns), the overall mode of the text is collaborative.

The direct narrative text is an account of sport events, in which certain Indonesian players take part. The narrative takes the form of a news report using a third-person oriented narrative with 'he', 'she' or 'they' as the pronouns used in the sentences. It is a direct narrative

because it represents what actually happened at the time of reporting. The report itself appeared in one of the Indonesian prominent newspapers called Kompas (27 September, 1980).

The indirect narrative is an account of speech events, reporting what an authority expresses about certain matters. It is an indirect narrative because it is a second-order representation of what someone (other than the narrator) has seen or experienced. Therefore, in our case, the indirect narrative is not oriented to actors or events, but to speech itself. So, while the direct narrative is unmediated, the indirect one is mediated.

2.4. Subjects of the Study

The SL texts were given, as translation exercises, to the students of the final year of the Academy of Foreign Languages in Malang, East Java. These students have generally been learning English for nine years in formal classes, starting from the Junior High School. Therefore it is assumed that they have adequate competence in English, especially passive mastery of it. It is also assumed that they have adequate knowledge of how to translate from English to BI and vice versa (both of these directions of translation are familiar to the students as their formal translation exercises in their training).

The SL texts were given to the translators together with instructions and general explanations about the texts. The explanation covers the sources of the text, the interpersonal relationship reflected in the text, the possible intended readers, etc. (see Appendix VI).

The number of translations obtained for each SL text ranges from twenty five to thirty five texts. From these, eight TL texts were purposely selected for each SL version, on the basis of the relative absence of grammatical errors. In this way, our concentration in the discussion that

follows can be focused on the translation problems. In addition, two TL texts for each SL version were also obtained from translations done by students who were born in Indonesia but grew up in Australia and go to Australian schools (henceforth referred to as the 'Australian residents'). These latter translations were not by those trained to be translators. But the fact that they have lived and grown up in Australia suggests that they have broader English competence than those who do not, since they are continually exposed to the language. Their translations provide an interesting comparison to those translated by students trained to be translators in Indonesia.

2.5. Division of Chapters

The thesis will be in eleven chapters, which can be divided into four parts: Part One (Chapters One, Two, Three, and Four) is concerned with research preliminaries. Of the chapters still to come, Chapter Three provides a theoretical orientation for the analysis of translation and text, and Chapter Four a profile of major Indonesian texts for purposes of reference in the chapters of analyses (Five to Eight). Part Two (Chapters Five to Eight) are devoted to the analysis of individual types of text (procedural, hortatory, expository and narrative, in that order). Part Three (Chapters Nine and Ten) is concerned with rounding out the discussion of translation shifts, textual equivalence, and directions of textual shifts in the translation. Part Four (Chapter Eleven) presents the conclusions of the study and their implications for translation theory and for training people/students to translate.

Footnotes for Chapter Two:

- 1). These two kinds of shift are probably comparable to Popovic's notion and definition of 'constitutive' and 'individual' shifts. (Popovic, 1970). Van den Broeck (in Hermans, 1985), referring to Popovic, also uses the terms obligatory and optional shifts in relation to shifts of expressions in literary texts. However, as stated in Section 2.2. of this chapter, the term 'shift of expression' means the choice of aesthetic means (Popovic, 1970:81).

Diverging from Catford (1965), the constitutive and individual shifts are concepts introduced in the context of the translation of literary genre. As such, the judgement as to which shift is which is basically intuitive. The concept of shifts in this study, however, departs from the more concrete concept of formal linguistic correspondence, i.e. due to the lack of formal correspondence between the SL and the TL, the obligatory shift is necessary. Taking the formal correspondence further, an optional shift in this study is defined as that linguistic resource which could have been expressed in the TL text, but for which the translator has selected something else (in the light of interpersonal meaning, the pragmatic context, and the generic constraints). An example of this is when the translator of TL text B in Chapter One could have chosen to impersonalize the clauses of the TL version, but did not do so.

- 2). The Indonesian 'you' pronoun is complex. More formal and frequently used ones are saudara 'lit. brother', bapak 'lit. father', ibu 'lit. mother', etc. The use of these implies a relative distance between the speaker and the hearer. In 1957, a new term anda was invented to equal the neutral English 'you'. However, its use is thus limited and it needs to be used with care (Johns, in Bahasa Indonesia: Langkah Baru, ANU Press, Canberra, 1981).
- 3). Sipeda stands for Siaran pedesaan 'information for rural people'. The information is broadcast through the radio, at the district and provincial levels throughout Indonesia. In the villages and hamlets, people listen in groups called kelompok pendengar 'group of listeners'. The group called 'Sipeda Ken Dedes', whose bulletin is mentioned here, won the national prize in 1980 for their active participation in the development of their hamlet.
- 4). Forum Pemuda is a communication medium for the youth, published monthly by the office of the Indonesian ministry for youth and sports in Jakarta. It is published throughout Indonesia and gains wide readership, both among young readers as well as among adults.
- 5). The New Order was brought about partly as the result of the so-called Tritura, which came to the fore after the failure of the Communists' attempts to overthrow the government and to replace the national ideology, Pancasila. Tritura contains three public demands: to abolish the Communist party, to reduce prices for daily needs, and to replace and change the cabinet.

CHAPTER THREE
THEORETICAL ORIENTATION
TO THE ANALYSIS OF TRANSLATION AND TEXTS

3.1. Introduction

In chapter One, translation has been generally defined as "the replacement of textual material in one language (SL) by equivalent textual material in another language (TL)" (Catford, 1965:20). There are two key concepts in the definition: 'text' and 'equivalent'.

We have indicated in Chapter One that the term 'text' is important because when we translate, we deal with texts rather than with isolated sentences; we always find linguistic communication in textual form. Texts show different conditions of context, different structures, and different functions, and they are designed for different addressees. They are produced for different communicative purposes. Translation, therefore, is a text-oriented operation: it is a procedure leading from a (written) SL text to an (optimally) equivalent TL text, and it requires the translator's comprehension of the organizational (contextual and structural) aspects of the source texts, both at the level of lexicogrammar and at the level of (pragmatic) text.

Every text is, as we will see later in this chapter, characterized by one or more communicative purposes. Many text typologies group texts according to their purpose. The purpose is realized in the lexicogrammar of the text on the basis of certain notional parameters, such as 'agent orientation', 'projection' (see section 3.3. of this chapter). For example, a hortatory discourse, which has the purpose of exhorting or persuading, would be orientated to the second person (rather than to the third person as in narratives). This orientation can be realized in the lexicogrammar, for example, through clauses with the pronoun 'you'.

In all this we see the necessity to combine translation studies with the studies of text or discourse analysis. For text analysis, we may wish to start with typological discourse analysis and correlate the typology with the lexicogrammatical analysis. So, firstly, we can identify the component parts of the communicative act by starting with the outer frame of the situational context (including generic purpose); and secondly we can see how the verbal realizations correlate with specific contexts (for examples, see Longacre, 1976; 1983; Larson, 1984).

For the purposes of translation studies it is useful to analyse a text in terms of the two levels mentioned above (textual and lexicogrammatical) for two reasons. On the one hand, there are cases where lexicogrammatical equivalence in translation can only be established by reference to the generic type of the text (See the translation of SL text 1 in Chapter Five). On the other hand, to assume an equivalence of text type without taking into account the lexicogrammatical aspect of the text could only produce a less successful and less effective translation.

The purpose of this chapter is twofold: (1) to establish a theoretical orientation for translation (Section 3.2.); and (2) to choose a model of text typology and text analysis which best suits our purpose (Section 3.3.). To this we now turn.

3.2. On Translation

3.2.1. Translation Procedure: Determining a model

Translating is an expression of two kinds of abilities: analytic and synthetic (Hartmann, 1981:56). The analytic ability involves the translator's comprehension of the SL text, the abilities of parsing, access to subject matter, and access to the writer's intended meaning. The synthetic ability is the one concerned with the transfer of meaning for

potential readers, and with the assessment of the target text (whether it conforms to generic and discursal TL conventions, and whether it is an adequate translation). Hartmann refers to such abilities as the approximating ability of the translator as mediator of the two texts (SL and TL texts).

Part of the approximating activity of the translator is the translator's own motivation, whether such motivation is driven by the circumstances of the SL text (such as the need to resolve points of textual ambivalence, see below), or by other external factors (such as the occasion of the translation, consumer's wishes, etc.). As we have indicated in Chapter Two (p.17), the degree of latitude a translator is permitted in representing the source text in translation has become the basis for the long debate concerning whether a translation should be 'literal' or 'free'. No matter how far back we go, the controversy has existed in translation studies. It continues even today (Newmark, 1988). Newmark holds the opinion that literal translation is correct and must be sought as long as it renders referential and pragmatic equivalence of the original. However, as will be shown in the translation of SL text A in Chapter Five, referential equivalence does not always in accord with pragmatic equivalence. Therefore, looking at translation in terms of the controversy is not at all helpful, especially in the context of training students to translate.

As a way of solving the problem, it is worth considering the discourse-to-discourse approach suggested by Hartmann (1981), in which all aspects of discourse production should be taken into account in translating. In discussing this approach, we will need to emphasize the principle that we put forward in Chapter Two, i.e. the fact that translation is a work of recreation rather than creation. This means that

in translation, the translator is not free just to change the meaning intended by the text producers.

Text producers have their own communicative aims and intentions as realized in the lexicogrammar and the genre of the text. In translating the text, then, translators are faced with two kinds of motivations: that of the writer and their own. The translator's motivation adds a second dimension to the translation activity, but it must not override the first. The writer's motivation must be given priority. For student translators especially, due to their insufficient language competence, it would be unwise to suggest anything else, especially in the early stage of the training. Because he is the mediator, not the author, a translator should not readily assume that he can change the illocutionary force of the text producer.

The illocutionary force is different for different types of texts (narrative, hortatory, --> see section 3.3.). Although it is contended here that a translation should not induce a change of illocutionary force and text type, there are cases or spots within a text where, in optimizing the translation, the translator may have to refashion the genre identity of the original. This is especially the case : (1) when the SL text is a hybrid (see subsection 3.3.3.) as with SL text D in this thesis; or (2) when there is a generic ambivalence (SL text B of Chapter Five).

Yet in this thesis, translating procedure is generally seen as a procedure to maintain textual identity in the translation. When all aspects of the text can be recreated with minimal modification, then there is no justification for a translator to change the illocutionary force or text type of the original text. However, we cannot usefully talk about such optimal translation when some modification/adaptation is obligatory, i.e. when the nature of the SL text requires it (as in the one with generic ambivalence).

But modification/adaptation can be optional as well, as in cases of commercial and/or professional translation. Here (a team of) translators (sometimes together with an expert in the field or subject matter being translated) may decide to change the illocutionary force of the SL text to suit a certain translation purpose or a certain type of audience. However, in the context of translator training, especially in the early stage, the optional modification of the SL text should not be encouraged. Therefore we need to look for the range of acceptable translation types in this context (see Chapter Ten).

3.2.2. On the Seeking of Translation Equivalence: Establishing a Model

In the above section, we have taken a stand concerning (1) the translator's motivation and the modification allowed in translation; (2) the maintenance of textual identity in translation. We are now in the position to determine a model for the seeking of translation equivalence.

As stated in Chapter Two, Catford (1965), utilizing Halliday's grammar, formulates a hypothesis that translation equivalence can be based on formal correspondence. When no such formal correspondence is available, translation equivalence can be determined on the basis of the 'general condition' that 'at least some of the same features of situation substance are shared' by the SL and TL texts. Yet in that case some sort of what Catford calls 'translation shift' would occur.

We have also stated in Chapter Two, that although the above concept of equivalence is fundamental, and although Catford defines translation in terms of 'textual equivalence', he confines his discussion to the level of sentence. The text is not given an explicit place in the discussion. As well, 'context' has been confined to the semantic features within the lexicogrammar (mainly those applicable to verbs or nominals), and is not

extended to the higher level of text.

We have also briefly compared certain concepts of translation equivalence in Section 2.2 of Chapter Two. The brief comparison has also indicated the possible spots of unsuitability and insufficiency of the concepts for the purposes of translator training. Therefore, it is helpful to consider what Hartmann (1981:53) proposes, that in seeking for translation equivalence:

" The path is from discourse to discourse via the contact skills of the bilingual speaker or writer, who is not necessarily always a professional interpreter or translator. The method is equivalence-seeking at all levels, the syntagmatic-grammatical as well as the paradigmatic-semantic, but most important of all, within the rules of pragmatic-stylistic appropriateness." (underlining added)

According to this model, we need to examine the general and universal properties of discourse genres. The universal properties are those which make translation possible (as indicated through the idea of 'universality of context' by Hatim and Mason (1990) or through the 'universal factors of communication' by Nida (1964)). These universal features are specifically stated in general notional parameters by Longacre (1976; 1983), as explained in section 3.3. below. In turn, we will also see how such universal properties can be realized in different ways at the micro level (of lexicogrammar), as explained in section 3.4.

3.3. On Text Analysis

3.3.1. On Text Typology

It has been reported above from Hatim and Mason that there are universal features of language use which can be stated in general abstract

terms of contextual features, e.g. in narrating, some of the relevant 'contextual' features would be 'something to narrate about', the interpersonal relationship between participants', etc. When these features are realised in texts, it is possible to classify and typify them. This can be done, according to Longacre, by looking at the purpose of the writer. Longacre (1983) posits two basic kinds of text typology: notional types (or 'deep structure' types in his earlier 1976 version), and surface structure types (in both 1976 and 1983 versions).

The notional structure types of monologic discourse according to Longacre are: narrative, procedural, expository, and behavioural. This classification implies that each type expresses one overall purpose, for example a narrative text has the purpose of recounting past events (Figure 3.1.).

		! +Agent orientation		! -Agent orientation	
+ n	c s !	NARRATIVE	!	PROCEDURAL	!
	o u !				
	n c !		!		!
	t c !	prophecy	!	How-to-do-it	!
	i e !		!		!
	g s !		!		!
	e i !	story	!	How-it-was-done	!
	n o !		!		!
	t n !		!		!
- n	c s !	BEHAVIOURAL	!	EXPOSITORY	!
	o u !				
	n c !	Hortatory	!	Budget proposal	!
	t c !	Promissory	!	Futuristic essay	!
	i e !		!		!
	g s !		!		!
	e i !	Eulogy	!	Scientific paper	!
	n o !		!		!
	t n !		!		!

Figure 3.1. Notional Types
(From Longacre, 1983:5)

terms of contextual features, e.g. in narrating, some of the relevant contextual features would be 'something to narrate about', the interpersonal relationship between participants', etc. When these features are realised in texts, it is possible to classify and typify them. This can be done, according to Longacre, by looking at the purpose of the writer. Longacre (1983) posits two basic kinds of text typology: notional types (or 'deep structure' types in his earlier 1976 version), and surface structure types (in both 1976 and 1983 versions).

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		! +Agent orientation		! -Agent orientation	
+ n	c s !	NARRATIVE	!	PROCEDURAL	!
	o u !				
	n c !		!		+
	t c !	prophecy	!	How-to-do-it	! projection
	i e !		!		!
- n	g s !		!		-
	e i !	story	!	How-it-was-done	! projection
	n o !		!		!
	t n !		!		!
- n	c s !	BEHAVIOURAL	!	EXPOSITORY	!
	o u !				
	n c !	Hortatory	!	Budget proposal	! +
	t c !	Promissory	!	Futuristic essay	! projection
	i e !		!		!
- n	g s !		!		-
	e i !	Eulogy	!	Scientific paper	! projection
	n o !		!		!
	t n !		!		!

Figure 3.1. Notional Types
(From Longacre, 1983:5)

The abstract (i.e. deep) notional discourse genres occur in many different languages of the world (as proven by the work of Longacre himself, Larson (1984), and Callow (1976) who have dealt with many Asian, African, and Amerindian languages). However, the lexicogrammatical realizations (or the surface features) of these genres are language-specific; they are expressed in different formal grammatical features. This difference in grammatical features has been discussed in relation to specific languages, in translating from many Asian, African, and Amerindian languages into English. In the following, we will examine a little more closely the typology proposed by Longacre (see below) and see how it correlates with the typology in Bahasa Indonesia, to ensure that, in principle, it is possible to maintain textual identity in the translation from Bahasa Indonesia into English.

As can be seen in Figure 3.1. above, Longacre (1983) makes a four-way classification of monologic discourses in terms of three basic parameters: contingent temporal succession, agent-orientation, and projection. The first parameter, contingent temporal succession, refers to a framework of temporal succession in which some (often most) of the events or doings are contingent on previous events or doings. Here we should distinguish between contingent succession and chronological succession (Longacre, 1983:6). When contingent succession is present, as in the narrative and procedural discourses, the contingent succession is expressed in the verbs, possibly through consistent tense. On the other hand, when chronological succession is the basis of textual organization, as often in writing in natural sciences, it can be realized in the structural units of texts, and can be expressed not only in verbs but also in the adverbs of time indicating stages or units. However, it is also possible for the two kinds of succession to occur simultaneously in the exposition of natural sciences.

The second parameter, agent orientation, refers to the fact that a

text may be oriented towards agent (rather than events or process), with at least a partial identity of agent reference running through the discourse.

Applying these two parameters, we find that narrative is plus in terms of both, while procedural discourse is plus in terms of contingent succession but minus in terms of agent orientation (attention is on what is done rather than on who does it). Behavioural discourse (a broad category including exhortation, eulogy, etc. which is concerned with how people behaved (projected) or should behave), is minus in contingent succession but plus in terms of agent orientation. Although the use of the term 'behavioural' is rather unfortunate in the sense that Longacre does not define it clearly, it does have the benefit of allowing for identifying general kinds of behavioural discourse (hortatory, promissory, etc.). Finally, expository discourse is minus in terms of both parameters, because it is neutral in terms of orientation towards agent, and usually concerned with abstract concepts, processes, etc.; and the succession, if any, is usually chronological. Although it can have contingent succession, it is not usually the case.

Through the third of Longacre's parameters, projection, we have eight-way classification. Projection "has to do with a situation or action which is contemplated, enjoined, or anticipated but not realized" (Longacre, 1983:4). So, for example, when a procedural discourse is minus in projection, this means that the actions expressed in the instructions or set of procedures are not immediately realised after the utterance. The instructions could either be contemplated or anticipated, thus the realization could be in future time.

Longacre also posits a further parameter, tension, which is pertinent to narrative discourses. We can distinguish episodic narrative (minus

tension) from climactic narrative (plus tension). But this is not important for our present purposes, since the narratives we discuss in this thesis are all of the episodic kind (see Chapter Eight).

3.3.2. Modifying the typology from the Lexicogrammar

Unfortunately, the four notional parameters above fail to cater for the interpersonal aspect of the text (or the 'tenor of discourse' in Halliday's terms (1971)). In fact, Larson (1984:425 ff) has complemented Longacre's parameters by adding a dimension of 'communication situation', where she includes author-audience relationship and attitude (thus the interpersonal aspect of the text). According to her, each language will have special ways of communicating features of this interpersonal aspect: by a 'direct statement' of some kind such as 'I say...', 'I suppose....', etc. or by using a less direct, implicit way (see below).

Extending Larson's concept of 'directness' to the parameters mentioned so far, we can extend the range of types. So a revised typology would be that each of the eight types has sub-types of both direct and indirect discourses. It implies slightly different things for the different types of discourse. A narrative is direct when it is a first-order representation of reality from the text's world, making the narrative event-oriented when the communicator involves himself directly in the events described. The narrative is indirect when it is a second-order representation (where the chronicler is reporting someone else's words about it so that it is speech-oriented). A procedural discourse is direct when it expresses a set of direct commands (with 'you-oriented') rather than the more subtle or advisable commands such as those with phrases of 'can be....' (thus unspecified addressee) (see Peters, et. al. (1987) for such indirectness in English instructional writing). A hortatory discourse would be direct when

the exhortations are expressed in clauses such as 'let's', and it would be indirect when the exhortations are expressed as, for example, urging or inducement using 'we/us/our' to indicate solidarity and one-ness of opinion with the addressee. In the same way, an expository discourse would be direct when the expositor is an impartial expounder (thus third-person oriented) and it would be indirect when the expositor collaborates in the text (thus 'we' oriented) (Nash, 1980).

While the directness (and indirectness) is straightforwardly interpersonal in the procedural and hortatory discourse, it is not so in the other two types. In these latter types (i.e. expository and narrative types), the directness is explainable in terms of whether the grammatical realization in the text is unmediated (thus direct) or mediated (thus indirect). In indirect expository discourse, for example, the exposition is filtered (or mediated) through a first-person viewpoint (see Chapter Seven). In indirect narrative discourse, the interpersonal relationship is reconstituted through speech events.

The above modification of Longacre's typology is utilized in this thesis, both as the bases for selecting texts to be translated by the student-translators, and for the interpretation and judgement of the TL versions produced by these translators, as analysed in the later chapters (Chapters Five to Eight). However, although we are able to recognize typology as shown above, we also have to recognize the occurrence of hybridization, as explained below.

3.3.3. Text Hybridization and Longacre's Surface Structure Types

In line with Longacre's view of discourse genres, Hatim and Mason (1990) see the (rhetorical) purpose as being the hallmark of all texts, in which they define rhetorical purpose as 'the overall intention of a text

producer'. But unlike Longacre, Hatim and Mason consider that rhetorical purpose is not something inherent in a stretch of language, but rather a property we assign to it in the light of a complex set of contextual factors. So, quoting Werlich (1976), Hatim and Mason base their text typology on 'dominant contextual focus'.

In principle, such focus is what is affirmed by Longacre. The basic difference is that while Longacre assigns 'notions' (or 'deep structure') as something dominant in each text type, as shown in his notional features, this is not the case with Hatim & Mason. To them, 'text production is not entirely seamless', and shifts of contextual focus (i.e. hybrid forms) are possible in one text type.

However, in Longacre's terms, shifts of such focus are matters of surface structure phenomena, a vehicle for carrying out or for expressing the dominant discourse purpose. Such shifts are localized, so that they do not alter the overall purpose of the text. An example of this would be SL text D in this thesis, where the 'we-orientation' of the exhortations is shifted into 'he-orientation' when the exhortations are about responsibility. In this case, the shifts are temporary and carry a change of interpersonal function. Thus what some would recognize as hybridization is explained by Hatim and Mason in terms of ambivalence of tenor in the particular discourse under discussion.

The above text typology, said to be universal by Longacre, can also be said to apply to Bahasa Indonesia, although the terminology which has been used for describing it differs slightly. The range of publications in Indonesia is examined in Chapter Four, and it shows that the four text types posited by Longacre are used widely. This means that the four text types coincide in the languages (BI and English). Such coincidence implies that: (1) there is a basis for interlingual transfer between BI and

English; (2) it should be possible to maintain text type in interlingual transfer.

However, although BI and English have relatively the same range of text types, this may not be the case at the level of lexicogrammatical realizations of these types. This is discussed below.

3.4. On Microstructural Analysis

Having recognized the type and the purpose of the text, our next step is to examine how the clauses of the text are organized in accordance with the particular type of text and its purpose. Larson (1984:365) sees the structure of the clauses of the text in terms of what she calls semantic units and groupings.¹⁾

A text as a semantic unit is hierarchically structured into smaller units, in which the smallest unit of communication is the proposition (normally realized as clause), either 'event proposition' or 'state proposition'.²⁾ So to analyze a text it is necessary to identify the propositions which are represented in the text (Section 3.4.1. below). The analysis of the internal structure of a proposition will be discussed in sub-section 3.4.2.

Returning to the higher semantic unit of text, we can see that each text has a structure (or 'backbone' in Larson's terms). The backbone embodies the global semantic and schematic structure of the text, which manifests itself in recurrent semantic concepts (e.g. the series of events in a narrative).

In the organization of the text, certain items, events or characters are more prominent than others. The prominence can be superimposed on the backbone of each of the discourse types, so that not just any element forming the backbone is prominent (K. Callow, 1976:49). In the following,

we will see that text type, overall purpose, and prominence are interrelated.

3.4.1. On Text-type, Purpose, and Prominence

The purpose of a narrative discourse is to recount events, usually in the past. The backbone of the narrative is a series of events, with agent of these events usually being either in first or third person. In this type of text, prominence can be superimposed on the major event or the major participants who contribute to the progression of the text. In the organization of the clauses in this text type there is usually a unity of participants, location, and time.

The purpose of a procedural discourse is to present the steps involved in how to do something. The discourse is expressed as a sequentially related series of steps, in which each in the series constitutes a procedure. These steps form the backbone of the discourse, in which case prominence is expressed in the major steps which directly contribute to the thematic development for achieving the ultimate goal. In this discourse, the ultimate goal is more prominent than the steps. The agent is either second person or unspecified. The clauses of the text are organized around the steps and the participants affected by the steps (i.e. the affectee).

The purpose of hortatory discourse is to exhort, propose, or suggest. The sentences of the text are structured injunctions, and proposed activities plus their supporting reason(s). The backbone of the (discourse) structure is the (series of) proposed actions, where prominence can be superimposed on these proposed actions. Reasons supporting these proposed actions form the background for the prominence. The organization of the

sentences in the text is thus through argumentative logic rather than temporal or chronological relations.

The purpose of the expository discourse is to explain. The sentences of the text are structured around a (global) theme and the ground(s) or reasons which support the theme. The theme and the grounds are related to each other using what Larson calls nonchronological relations such as cause-and-effect, adversative relations, etc. (see also cohesion in subsection 3.4.3. of this chapter).

So far, Larson seems to use the term prominence to indicate saliency of information in a text. However, although a translator can recognize and correlate prominence with the salient information which forms the backbone of the discourse, he/she might still have problems with translating prominence into the TL text. This is due to the differences in signalling prominence between the SL and TL. K. Callow (1976), drawing from her knowledge in translating the Bible from English into certain languages of Peru and Brazil, says that even within one language, different devices for signalling prominence may be used simultaneously in the same text, with a different significance in each.

Following K. Callow (1976), Larson distinguishes three kinds of prominence: prominence with thematic value, prominence with focus value, prominence with emphatic value. Thematic prominence has the whole text as its domain, which means that the significance of thematic prominence extends over the whole text. The domain of the other two kinds of prominence is more localised than thematic prominence, sometimes no longer than a clause.

Thematic prominence means saying to the hearer "This is the subject I am talking about". Here the information is prominent because it carries the discourse forward. The major pieces of information which form the backbone of discourse are all part of the thematic prominence. Supportive material

which does not form the backbone is nonthematic. Nonthematic materials usually provide background for the more prominent ones.

In the thematic progression it is possible to focus on certain thematic material to show, for example, that in a series of proposed activities of a hortatory discourse, one activity is of special importance. Thus focus prominence means saying to the addressee "This is important". Focus, as stated earlier, has a limited domain, so that when a proposed activity is in focus, this focus may have to be renewed periodically (see SL text C of Chapter Six). In BI, such focus can be through the use of particles such as /-LAH/. In English, however, it can be through marked word order, e.g. as in the forefronting of complement in a clause such as 'Nature I love'.

Emphatic prominence is involved in the speaker-hearer relationship. It has to do with speaker's or writer's expectation. Emphatic prominence is one which the writer thinks will be surprising to the reader. In BI, for example, it can be expressed through the particle /-PUN/, which, in English, can be expressed through an interpersonal element in the clause such as an intensifier, e.g. 'only', 'even'.

So far, our discussion of prominence has been textual, in the sense that prominence is seen in terms of its significance in the global semantic organization and the tenor of the text. Thus it functions as a device for highlighting important materials and for distinguishing such materials from their background.

Apart from the three kinds of textual prominence just outlined, there is also prominence at clause level, but with a different significance. This approach is different, being much more closely related to the organization of individual clauses. For English, this approach was pioneered by Halliday (1967-68). He analyses prominence in relation to the analysis of the

'clause as a message', i.e. as the realization of textual meaning which relates to the flow of information in a text. For this, he posits theme-rheme structures. A theme is the element which states what is being talked about in the clause, providing it with a point of departure. Very often, but not always, the theme contains Given information. A rheme is what is being said about the theme, which is often the carrier of New information.

Using English alone for his examples, Halliday's analysis of theme-rheme structures is based on word order. For him, a theme is always initial. In BI and Javanese, however, this is not always the case (Rafferty, 1982-83; G. Poedjosoedarmo, 1976). So it would be more helpful to view the notion of clausal prominence in another way.

Larson (1984) has analysed clause-level prominence in terms of prominence within a proposition. Working with the languages of Aquaruna (Peru) and Greek, and the Amerindian languages, Larson has used the concepts of topic and comment in her analysis of prominence at clause level (She has also drawn examples given by other translation theorists such as Beekman, Callow, and Kopesec (1981)). Since topic and comment concepts here are not based on clausal order, the possibility of their application to other languages than English is greater. Therefore, we will review the concepts of topic and comment in the following.

3.4.2. On Topic and Comment: Prominence Within a Proposition

A proposition contains two units: topic unit and comment unit. A topic is what is being talked about, and a comment is what is being said about the topic. In a text, the same topic may occur in a number of propositions and be the theme of the larger unit. However, the topic is not necessarily the most prominent part in the structure of a proposition. The naturally prominent part is the comment, because it is what the speaker/writer

communicates about the topic.

There are two kinds of topic: natural and marked. In 'event propositions', the natural topic will be the 'thing concept' that does the action, i.e. agent or causer. When the propositions have both an agent and an affectee, the agent is the natural topic. Some examples are (Topics underlined): (i) Tono took the book; and (ii) Mr. Carter made his students do the homework. Here the topic in (i) is the agent and that in (ii) is the causer. If the 'event concept' is an experience or a process, the natural topic is the 'thing concept' with the role of affectee, as in 'she heard the voice', and in 'the child died'. Apart from position as the signalling device for natural topic as in the above examples, the topic has another signal in BI. The natural topic is usually simultaneously accompanied by /NG-/ verbs in the comment unit.

While each of the above examples is a statement, a proposition can be a question or a command. If the proposition is a question, the topic is the question word, e.g. 'who' in 'who took the book?'. In BI, the question can be realized in the clause in the same way as in English, but when the question word forms a topic unit with another thing concept, as in 'Which book did he take?', then in BI the topic unit is separated from the comment unit by the suffix /-KAH/, as in 'buku-buku manakah yang diambalnya?'.

If the proposition is a command, the event concept is the topic, e.g. in 'take the book'. The realization of the command in BI is different from English. When the command is a favor for the speaker or when it is followed by an object position (although not necessarily benefactive), the event concept forming the topic of the command is expressed as a verb with the suffix /-KAN/(see also Chapter Four). The command can be made less abrupt by adding the suffix /-LAH/ to the verb.

Apart from the natural topics above, we can also have marked topics. In BI when concepts other than those mentioned above are the topic, such as

instrument or beneficiary, then the topic must be marked. In : (i) , "the wind blew the paper away", the topic is instrument and takes homorganic /NG-/³⁾ prefix as well as the suffix /-KAN/. In (ii) "The beggar was given the money", the topic is beneficiary , while in (iii) "The Kalpataru prize was given to Sartono by the president", the topic is affectee or patient. In both (ii) and (iii), apart from initial positions, the topics are also marked by the use of the /DI-/ verb forms. Indeed, /DI-/ clauses in BI are forms of foregrounding (Rafferty, 1982-83 and Purwo, 1986).

A natural topic can also have a marked interpersonal prominence, as in 'It was my mother who raised the orphan' or in 'My mother was the one who raised the orphan'. In BI, both of these types of markedness can be expressed through the suffix /-LAH/ attached to natural topics other than verbal topics as in commands. In point of fact, marked prominence, which in English can be contrastive or with intensive focus, is expressed through either the particles /-PUN/ or /-LAH/ attached to the natural topics in BI.

As far as translators are concerned, it is important to recognise how topic-comment units and topicalization are realised in BI and in English. As has been mentioned before, when topicalization is a concern, the translator should identify the semantic structure of the proposition which has been topicalized in the grammatical structure. Since what can be used to mark the topic and what grammatical elements can be topicalized are not the same for BI and English, an adjustment may need to be made in translation, and thus shifts may occur. As the topic progresses, the translator should examine which topic gains focus or emphasis, how they are signalled and/or expressed in the lexicogrammar of the text involved in the translation. This is discussed in the following.

3.4.3. Topical Progression and Translation

So far we have seen that topic can be natural, and the same natural topic may recur and be maintained throughout the text. But developing a topic in this way in a text constitutes only one of the models available for describing topical progression (a more complete proposition of models is the one by Danes (1974)). The model taken as an example in the following will be used to illustrate the problems which might be encountered in translation when topical progression is concerned.

We have said that it is possible for a text to develop with a particular element in the topic unit. In English, for example, we can begin a text with a clause such as 'The fish is cleaned', and continue in successive clauses by referring to 'the fish' as 'it', e.g. in 'Then it is placed in a container', etc. We can continue with other clauses having 'it' as the topic, thus keeping the attention on 'fish' as the topic.

When the above text is translated into BI, however, once the topic is established and thus constitutes Given information, such topic can be deleted, leaving the comment alone (as in SL text B of Chapter Five). So, the element expressing the topic in the English version may have to be changed and expressed using another element in the Indonesian lexicogrammar or it may simply have to be expressed through ellipsis. Therefore, translation shifts might occur.

The shifts might occur throughout the text and might result in an entirely different pattern of topical progression as well as of cohesion. For example, the topical progression in the Indonesian version might show a progression along verbal chains, due to the deleted subjects (functioning as topics) mentioned above. In turn, the cohesion and types of cohesive ties might also change, e.g. through the suffixes of the verbs in the Indonesian version.

So far, we have tried to see some of the problems that may arise in translation with regard to the topical progression in a text. We have also shown how the problems might affect cohesion, which is a concept of unity within a text. This is examined in the following.

3.4.4. Cohesion

According to Halliday and Hasan (1976:4), cohesion occurs when the interpretation of some element in the discourse is dependent on that of another (termed 'relation concept' by Larson). An example of such cohesion provided before was when a (male) participant in a narrative is referred in the following clause as 'he'. The pronoun 'he' here provides what is called a tie of co-referentiality. Co-referentiality can be through personal reference, demonstrative reference, or comparative reference (Halliday and Hasan, 1976: 43 ff). But apart from this, co-referentiality can also be formed through the lexical relations of antonymy, synonymy, hyponymy, repetition, etc.

Cohesion can also be achieved through substitution, as in 'your knife is blunt. You better get a sharper one', where 'one' here substitutes for 'knife'. Simultaneously, the words 'blunt' and 'sharper' also provides a lexical cohesion through antonymy. Still another kind of cohesion can be through ellipsis, as in 'Would you like to have another apple? I have four more', where the word 'apple' in the second clause is deleted. This is a case of nominal ellipsis (see Halliday and Hasan, 1976:88-222 for a complete account of substitution and ellipsis).

Apart from the above kinds of cohesive relations, there is another type of cohesion called conjunction, which is the logical relationship that may hold between two successive statements. The relationship can be through addition (as when the cohesive tie is through

'and'), through adversative relation (as when the conjunctive 'but' is used), through causal relation (as in the tie with 'because'), and through temporal relation (as in the tie with 'finally') (Halliday and Hasan, 1976:242).

For the translator, it is important to check how the full range of cohesive ties are signalled in BI and in English, and whether they are expressed in the same way. When discrepancies occur, the same question as was asked before applies: how can the device of the SL be matched, so as to preserve the identity of the text (i.e. text type)?.

All this will depend on what Hartmann (1981) calls 'analytic and synthetic abilities' of the translator, mentioned at the beginning of this chapter. Thus in translating it is not enough just to recognize text types, translators should also see how the lower level structures affect text types, as well as how the two (i.e. the higher textual level and the lower level of lexicogrammar) interrelate in translation.

Footnotes

- 1) Larson (1983:28 ff) works on the basis of two assumptions about language: (1) that there is a distinction between deep and surface structures, and (2) that meaning is structured. Language is a network of semantic units and the relations between these units. The smallest unit in the semantic structure is a meaning component such as 'human', 'male', 'young' in the word boy. Meaning components group together to form 'concepts' ('thing concept', 'event concept', 'attributes concept', and 'relation concept').

In surface structure, units are grouped into increasingly larger units in a hierarchy of grammatical structures: meaning components unite to form concepts, concepts into propositions, propositions into propositional clusters, propositional clusters into semantic paragraph, semantic paragraph into episodes (in narrative), and episodes into discourse. Different genres have different labels for units above propositions. In unmarked neutral cases, the above semantic units correlate with morpheme, word, phrase, clause, sentence, paragraph, section, division.

- 2) Semantic units lower than the proposition only have referential meaning. The proposition becomes communicatively important because it encodes an illocutionary force, which is encoded in 'mood'. The proposition consists of concepts (thing, event, or attributes) in which one concept is central. If the central concept is 'event', then the proposition is 'event proposition', and when the central concept is a 'thing' or 'attribute', then the proposition is a state proposition (Larson, 1983: 191 ff).
- 3) /NG-/ is an abbreviation for the homorganic nasal prefix that assimilates to the position of the initial consonant and thus has many representations in the surface forms (məm, mən, m, n, ŋ, ñ) (Rafferty, 1982:19).

CHAPTER FOUR

THE PROFILE OF MAJOR DISCOURSE TYPES IN BAHASA INDONESIA

4.1. Introductory Remarks

It has been stated in Chapter Three that Longacre examines text types in terms of the notional parameters characterizing the text types. What he calls text types are referred to as (discourse) genres by other theorists (e.g Martin, 1985).

According to Martin, in broad terms, a genre can be defined as 'a staged, goal-oriented, purposeful activity in which speakers engage as members of our culture' (1985:25). Further, Martin asserts that all genres and speech events have purpose, even if occasionally they are only phatic. We find examples of genres in communicative activities such as 'telling a story', 'arguing a point', 'giving directions or instructions'.

These activities are organized in terms of the Aristotelian "Beginning-Middle-End" staging, directed towards a certain goal. When participants are engaged in 'story telling', for example, the speaker's purpose is to 'narrate' certain events in such a way as to inform the addressees about these events, usually in the past, whether actual or legendary. When people are engaged in an activity of 'giving instructions', the instructor has the purpose of teaching or instructing the addressee about how to do something.

The purposeful, goal-oriented activities can be said to occur in any culture. It is hard to imagine a culture in which the members of the community do not "teach", "tell", "argue", or "exhort", or do any other imaginable activities such as these, although the tradition to carry them out varies from culture to culture. It has been stated in Chapter Three that whereas these activities have underlying abstract conventions of

universal nature (e.g. of 'telling past events' in narrative), the manner in which they are realized in the lexicogrammar, their style and discoursal organization, their lexical and syntactic complexity, will vary not only from culture to culture but from context to context as well.

The contextual variations are mainly due to the social factors: The functional and social relationship between the speaker and the addressee (i.e. the interpersonal relationship), the type of situation, the cultural norms, and the conventions followed within a given community. These are the main factors which determine the cultural variations because the success and/or effectiveness of the execution of the purposeful activity (or genres) depend on the social factors, which are culture-specific.

The success of the communication between interlocutors is also determined by the way the above general factors are realized in the lexicogrammar of the specific discourse. For instance, typical syntactic forms, types of intonation and particles may be used to indicate typical realizations of certain genres. Thus imperatives may indicate "command-based genres", declaratives in past tense may indicate "telling" genres, etc. These realizations are language and culture-bound.

Hence we can say that there are two levels in the discussion of discourse genres: the higher semantic and abstract level of staged goal-oriented activities of genres, referred to as text types in Chapter Three (e.g. the "telling", "instructing", etc.); and the lower more concrete level of lexicogrammatical realizations of the above abstract level. As has been stated before, the higher level is abstract and is universal in nature, and the lower level is culture and language-specific. The cultural and linguistic specificity will be examined further here using examples of written texts from Bahasa Indonesia. But before examining actual texts, we will observe what range of materials are published as written discourse in Bahasa Indonesia. When written discourse is chosen here as object of

analysis, it is done for the reason that written discourses are more easily accessed and analyzed than spoken discourse.

The easiest way of examining the types of written discourse used in BI is by looking at the publications (as seen in Table 4.1. below). By doing so, we can examine the range of text types with which Indonesian readers are familiar and to which they are exposed. The materials surveyed in Table 4.1. are those published by Indonesian publishers (as in ILMP, 1984-1985).¹⁾ Of the 72 Indonesian publishers listed in the above ILMP journal, only 25 of them actually give details of materials published, while the rest (47) are simply entries with a list of addresses and other organizational matters.

Subject/Kind of Publication	!	% of publishers
- Textbooks (from primary to tertiary)	!	46 %
- Children's books	!	40 %
- Books of Religion	!	32 %
- Books of Science (popular, exact, and social)	!	20 %
- Books of general interest	!	20 %
- Books of Literature	!	16 %
- Reference books (practical, technical guidance, etc.)	!	16 %

TABLE 4.1. Some of the kinds of books and materials published in Indonesia

It can be seen from the above Table that the publications cover a wide range of books and materials, corresponding to the range of text types used by the Indonesians (as explained further below). The percentage of publishers publishing the books is based on those which give details of the books they publish. As can be seen from the Table, certain publishers publish a wider range of books than others: some or almost all of the range of materials in the Table, others only one or two kinds of material.

The number of different kinds of text types represented in the publications vary, presumably in accordance with the need of the readers. Among the types of publication just surveyed, the three largest in number are in the fields of: textbooks, children's books, and books on religion. Next come the books on specific titles and subject matters such as economics, medicine, etc.²⁾ Reference books, and technical or practical guidance are those which only a few publishers publish.

The above description of the materials published indicates that they do include the four major text types mentioned in Chapter Three. If we relate these published materials to our previous discussion of text types, it is possible to see these published materials as typical realizations of particular text types. By "typical" is meant the dominant function (or illocutionary act) in the material. In a textbook, a writer typically wants to "expound" certain lessons to the addressee. While this could be the writer's purpose in books/materials on specific titles such as economics, it is possible that the writer argues a point in such a book, or that he/she even "narrates" in books of history and biography. On the other hand, in books on religion the writer's purpose could be either to "expound", to "argue", to "exhort", or a combination of these (recognized as hybrids in Chapter Three). Children's books, which normally take the forms of fable, fairy tale, or stories, constitute still another combination of generic functions. Typically, the writer's purpose would be to "tell" stories, legendary or otherwise. In such "telling" it is possible that what takes the form of a story is actually used for "teaching" a moral lesson. While on the "surface" it takes the form of a story, the "deep" covert purpose is actually a lesson. In Longacre's terms (1983), the deep and the surface structures are mismatched, or a case recognized as hybrid genre by others (see Hatim and Mason, 1990). In books of manual/ technical materials, crafts, and guides, the writer's purpose would predominantly be

"giving a set of instructions or procedures", although it is possible that there is an activity of "expounding" in it.

However, an examination of text types through published materials such as those above would not give us a complete picture of exposure to the text types and the readership of such texts in Indonesian context. This is discussed below.

4.2. On Text Types, Exposure, and Readership in Indonesia

Our exposure to discourse types determines which types we are able to use, and which one(s) we choose to use (Martin, 1985). For example, a school system which does not expose children to a wide range of types is unlikely to equip them to handle and recognize types other than those they are exposed to. While this is reported by Martin to have occurred in New South Wales, Australia, the same fact (that genre exposure interrelates with genre uses and recognition) also seems to apply to Indonesia.

The earliest exposure to written discourse genres among children in Indonesia is probably when they are at the primary school. The first of the genres to which children are actively exposed at this stage is narrative. Active exposure means that the teachers get them to use them in the writing of accounts of excursions, recreation trips, etc.

Passive exposure at this stage, however, covers a wider range of text types than the active. Children are obliged to read textbooks containing expository texts in lessons such as Ilmu Pengetahuan Alam (IPA) 'exact sciences', Ilmu Pengetahuan Sosial (IPS) 'social sciences', and mathematics, at least twice a week for each. They read textbooks on the religion they embrace, which usually contain the text type of exhortation (for good conduct exemplified by the prophets), at least once a week. Narrative genres such as those found in history lessons are read by the

children at least once a week. The IPA lessons (exact sciences) also contain procedural discourses when the children are taught the simple procedures of things such as how to boil the water, how to experiment with a magnet, etc.

As the children continue their education to high schools (junior and senior), the above passive exposure to text type is made active. For example, they can now be asked to write expository discourses, formally in classes or informally through the students' bulletin and/or wall magazine. However, due to the large number of students in Indonesian classes (which usually range from 40 to 50), the active exposure to the text types is only minimal, e.g. one or two pieces in a semester. The teachers simply do not have time to review all the text if the students write more often and if there is greater active exposure.

Even more active exposure to text types, especially the expository text (including argumentative), might be expected when the students enter the university. But active exposure is still not possible even at this stage, due to the even greater number of students (which range between 50 to 60 students in one class, sometimes more). So except for classes in languages departments, only passive exposure is what most students experience.

In the language departments, however, especially in those of the foreign languages, writing skills are compulsory, alongside other subjects such as reading comprehension, translation, etc. The writing subject must be taken in every semester in a graded sequence. Thus in semester one, they must take writing skills I, in semester two writing skills II, and so on.

While the above exposure is that found in formal schooling, the ordinary members of the community (including the above mentioned students, of course) are also involved in a more general readership, i.e. through informal exposure to the text types mentioned earlier on. This informal

exposure can be through the personal reading of books, magazines, newspapers, etc. Magazines such as Tempo, for example, have acquired a large readership, throughout the provinces and islands of Indonesia. This magazine contains, apart from news reporting, popular expositions concerning certain advances in sciences, historical accounts (thus narratives), reviews and comments (thus expositions of the argumentative sub-type), etc. The section of 'Letters to the editor' in this magazine (on the average of 25 to 30 letters, 50 to 350 words long), involves hortatory texts (on the average of 25% of the letters), and the argumentative sub-type (on the average of 35% of the letters), with the rest being expository (of the informative sub-type). In women's magazines such as Femina, Kartini, etc., which are as widely distributed across the country as Tempo, we also find fictional narratives and procedural discourses (as in recipes, art and craft sections) which constitute the regular features of such magazines.

So far, we have tried to examine in general terms the text types available in Indonesian written discourse, the exposure to these discourses (passive or active, but mostly passive), and the readership. It was stated in Chapter Three that while the above types of discourse genres occur in both BI and in English, their lexicogrammatical realizations can be different. In the following we will examine the lexicogrammar of the four discourse genres (procedural, hortatory, expository, and narrative, in that order) in the light of the modified concepts of Longacre's discussed in Chapter Three. The description of the Indonesian genres will rest largely on the work by Keraf (1980; 1982; 1985), which can be considered the most comprehensive of all the descriptions of Indonesian genres available. However, since certain terms and concepts used by Longacre and Keraf differ in some respects, we will have to briefly establish where they coincide

before presenting the Indonesian text types.

Using traditional rhetoric as his starting point, Keraf classifies Indonesian discourse into: narrative (suggestive and expository), expository, persuasive, argumentative, and descriptive. The classification is adapted from the rhetorical typology established for English literary texts, which goes back two hundred years, when Alexander Bain based such classification on the contemporary range of 'belles lettres'. The problem with this rhetorical classification is that it is not wide enough to cover the more functional prose published in Indonesia in the twentieth century, as shown above (section 4.2. of this chapter). Nor does it take into account possible variations due to the lexicogrammatical realizations. However, Keraf has made an attempt to cater for a wider range of writing by adding a further sub-classification in the category of narrative: expository narrative, which provides for the lack of procedural discourse in the old classification.

Different as they are in their terminology, Keraf's discourse types and those of Longacre's still correlate in most ways. The text sample of 'expository narrative' given by Keraf (1985:137) fits the description of discourse with the purpose of "giving a set of procedures", and so is procedural discourse in Longacre's terms. Keraf's description of 'suggestive narrative' seems to be narrative in the traditional meaning of 'recounting past events'. The expository and argumentative discourses proposed as separate categories by Keraf seem to be grouped into one type by Longacre (1976; 1983). Longacre's sub-type of 'scientific paper' (under the heading of expository discourse) seems to cover argumentative writing.

Having seen where the differences and similarities are in the terminology used by Longacre and Keraf, in the following we will observe the lexicogrammatical realizations of the text types (section 4.3. below). We will keep to the typology already described in Chapter Three.

4.3. The Lexicogrammar of Indonesian Major Discourse Types

4.3.1. Procedural Discourse

To recall from Chapter Three, in a procedural discourse, the two important features are that: a) the steps of a procedure are ordered; b) attention is on what is done or made, not on who does it (Longacre, 1983). It is designed to take the reader through a set of steps to a set goal. These steps can be realized typically, but not exclusively, as commands.

In BI commands can be realized as : a) direct imperatives ; b) indirect imperatives. While both imperatives make the verb the topic of the clause, the verb is realized differently in each. In the direct imperative the verb is typically realized as a base verb or a base verb with a suffix, e.g. the suffix /-KAN/ when the verb is followed by a benefactive nominal or a simple base verb when it is followed by an objective nominal (Purwo, 1984). Either of these direct imperatives can be expressed by the particle /-LAH/ (with or without the above suffix) to make the commands less abrupt.

The indirect imperative, while having a verb as the clausal theme, is realized as a /DI-/ verb clause. Then, the personal reference of the prefix becomes ambiguous: it can have either a third or a second person reference. When the agentive reference is absent, it is usually interpreted as having a second person as an agent (Purwo, *ibid*). The clause becomes an indirect imperative (Rafferty, 1982).

The commands in a procedural discourse in BI can also be realized or expressed in declarative sentences by using statements with modals boleh 'may' and dapat 'can', or through an obligation with harus 'must/should'. The disguised command can also be realized as statements with advising or suggesting tone using the modal perlu 'need', or using the modal adjunct sebaiknya 'it is better to ...'.

While the modals disguise the commands, commands can be both disguised and impersonal when modals are combined with passive sentences. In addition, the disguised (and/or impersonal) commands also soften the sentences which make them far less direct. At the same time such commands can be further softened by the addition of ingratiating particles such as silahkan 'please', or with words of urging such as harap 'hope' or coba 'try'.

Although the above lexicogrammatical realizations constitute options which can be used in the procedural discourse, they do not appear in such discourse with the same frequency and with the same probability of being chosen. The most common are imperative clauses, direct or indirect. Their use varies with different contexts and purposes.

In the interest of giving practical instructions with as few words as possible, the text is likely to use direct commands (almost) throughout, as in the following, taken from "Pertiwi" magazine:

Text 1
Sagu Kukus
sago steam

Bahan : 500 gram sagu yang sudah direndam
ingredients sago which already DI-soak

1/2 butir kelapa muda, diparut
classif. coconut young, DI-grate

1/2 sendok teh garam
spoon tea salt

Caranya : Siapkan semua bahan. Di mangkuk
manner-its prepare-KAN all ingredient In bowl

email letakkan sagu , kelapa parut
enamel put-KAN sago coconut grate

dan garam. Kukus selama ± 20 menit
and salt steam for minute

sampai matang. Angkat dan sajikan panas.
until done Lift and serve-KAN hot
(Pertiwi, 71, Jan. 1989, p. 11)

Notes:

- 1) See the notes for the SL text of Chapter One for the meaning of the suffix (p. 6).

In this example the first part contains the ingredients, and the second part contains the procedure. Except for the second sentence, the procedures are realized as imperative clauses with verbs as themes. The agent orientation of these procedures is clearly 'you', and realizes direct commands.

Yet instructions can also give an impression of impersonality when indirect imperatives are used throughout:

Text 2
ubi kayu
cassava

Ubi kayu dijadikan makanan pokok di daerah
cassava DI-make-KAN food main in area

pegunungan
mountaineous

caranya: a. Mula-mula kulit ubi kayu dihilangkan
manner-its firstly skin/bark cassava DI-peel-KAN

Kemudian dijemur sampai kering. Namanya
then DI-dry until dry name-its

gaplek.
dried cassava

b. Gaplek ditumbuk dijadikan tepung.
dried cassava DI-pound DI-make-KAN flour

Sesudah dicampur air sedikit kemudian dikukus.
after DI-mix water a little then DI-steam

(From Ilmu Pengetahuan Alam, 6A, p. 32)

Notes:

Refer to the SL text of Chapter One for the meaning of the affixes (pp. 6).

The writer has explicitly avoided using 'you' or any direct reference to the reader. The text is potentially ambiguous. But the absence of third

person agent makes the'/DI-/ clauses indirect imperatives (Purwo, 1984; Rafferty, 1982). Detached from the context of instruction, however, the text could be interpreted as an (ethnographic) exposition of how people in mountainous areas prepare cassava for food (cf. G. Poedjosoedarmo, as quoted by Nicholls, 1981).³⁾

More often than not, Indonesian procedural discourse, like its counterpart in English, takes a mixture of lexicogrammatical realizations, such as imperatives, declaratives (as disguised commands). This is because writers would want to vary the commands, in order that the instructions do not sound too brisk and too direct, and so as to create a more friendly interpersonal relationship with the reader.

However, other consistent patterns of choice can be found, due to context. For example, when the text is a set of procedures in a school textbook, where the interpersonal relation between the interactants is formal and more or less distant, it takes on a formal, written style, the lexicogrammatical realizations would typically be in indirect imperatives (the same realizations could also normally be found in instructional writing such as recipe in women's magazines, e.g. in Femina).

4.3.2. Hortatory Discourse

As a sub-type of behavioural discourse, hortatory discourse is concerned with 'how people behaved or should behave' (Chapter Three). It is minus in regard to contingent succession but plus in regard to agent orientation.

There are two kinds of hortatory discourse in BI: direct and indirect. The direct hortatory discourse is that in which direct hortative sentences are used more than anything else, while in the indirect one the types of sentences used vary, from modulated statements (with or without the

particle /-LAH/), to commands (direct or indirect).

In either of these, the overall (macro) purpose is the same: to propose (a good conduct, behaviour, action, etc.), or persuade (Larson, 1984). Persuasive writing, the purpose of which is to motivate and mobilise the reader, is a sub-type of hortatory discourse, since it attempts to induce the reader to 'change their behaviour'. In a hortatory discourse of this type, the exhortations are indirect, in the sense of not regularly using direct hortative sentences such as 'let's ...'. It is more subtle. Diagrammatically, though not exhaustively, the type and sub-type of behavioural discourse can be represented as follows:

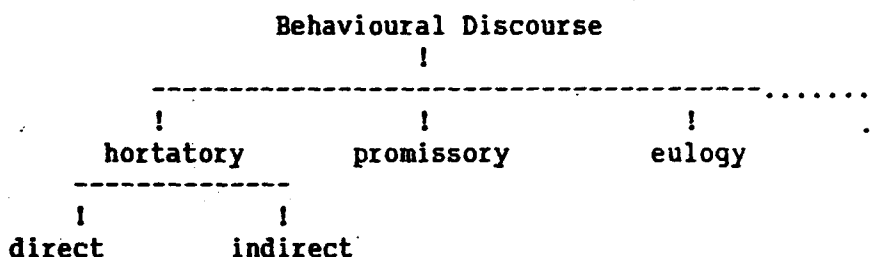


Figure 4.1.
Some sub-types of the Behavioural Discourse
(Based on and modified from Longacre, 1983:5)

In both direct and indirect hortatory discourse, the general rhetorical principles of persuasive language apply: (a) they use words which put pressure on the reader; (b) they use words with a heavy emotional loading; (c) they use words which establish solidarity with the reader (Peters, et. al, 1987). However it does not mean that all these three kinds of lexis are always present in any persuasive writing. Their occurrence varies with individual contexts.

In some languages, including Bahasa Indonesia, the 'essence of the persuasion' (or 'injunction' in Larson's terms) can be grammatically marked. Since 'injunctions' can be realized in a text together with other

elements, the focus of the injunctions can be lost: they may be obscure if they are not grammatically marked. Such marking can be important not only for marking the injunction, but to highlight focused or emphasized injunctions when necessary.

In BI such marking can be through the particle /-LAH/, which can be attached to any word, either for emphasis or as an indication of prominence. Such marker can be present or omitted in the text depending on (local or micro) prominence. Its function is like a spotlight, to put focus on certain character(s) or part(s) in the discourse. In the following, text 3 is an example of how such prominence marking is used.

Text 3

Meskipun persuasi diarahkan kepada
although persuasion DI-direct-KAN towards

pengendalian emosi, haruslah diingat
control emotion must/should-LAH DI-remember

pula bahwa pengarahannya persuasi kepada emosi,
also that direction persuasion towards emotion

janganlah menjadi inti keseluruhan persuasi.
do not-LAH NG-become essence whole persuasion

Emosi tidak boleh digalakkan
emotion not may DI-encourage-KAN

sedemikian rupa, sehingga hadirin tidak diberi
in such a way that addressee not DI-give

kesempatan untuk berpikir atau menilai persoalan.
opportunity for BER-think or NG-evaluate matter

Logika, perincian fakta yang dijalin dengan
logics details fact which DI-texture with

sentuhan emosi sudah sanggup menimbulkan tenaga
touch emotion already able NG-create-KAN power

yang dahsyat. Emosi haruslah menjadi
which enormous emotion must/should-LAH NG-become

alat untuk mencapai kesepakatan, jangan dijadikan
device for NG-reach agreement do not DI-make-KAN

tujuan

aim (From Keraf, "Argumentasi dan Narasi", 1985:122,
underlining added)

Notes:

- 1). The particle /-LAH/ in words of urging shows that the context of the urging follows the particle.
- 2). See the SL text of Chapter One for the meaning of the verbal affixes (pp.6).

Here we can see that the underlined words mark the main exhortations in the text. While the first, second, and fourth underlinings show the marking of exhortations with the particle /-LAH/, the third shows how the word boleh serves the same purpose.

In fact, in this context the particle /-LAH/ here has two functions: (a) to mark (local) prominence; (b) to change 'obligation' inherent in the underlined words into 'inducement', 'advising', or 'suggestion' (Slametmuljana, 1969:380). When we compare the use of this particle in this discourse with that in the procedural one, we can see that while it is mostly attached to verbs in the procedural discourse, in hortatory it is attached to the modals appealing to inducement or adjuncts of judgements such as sebaiknya 'it is better to ...'.

That the inducement is indirect is indicated by the avoidance of 'you' reference. Instead, the writer has used the /DI-/ verb clauses to make the inducement indirect and impersonal.

Apart from the above grammatical markings, the choice of lexis also plays a role in the text. Even in such a short text as text 3 here, the writer has appealed to emotions in his choice of lexis. Words such as dahsyat 'enormous' appeal to emotional reaction.

In general, the above mentioned lexicogrammatical realizations, plus the absence of direct hortative sentences such as mari kita 'let's' make the exhortations indirect. The occurrence of hortative sentences such as mari kita 'let's' (as opposed to biar kita 'let us') would make the

exhortations, more direct and personal. When the whole text consists of such direct and personal exhortations, then the text constitutes a direct hortatory type (as in SL text 2 in Chapter Six).

4.3.3. Expository Discourse

The purpose of expository discourse is to explain or to give information.⁴⁾ It aims at presenting information in "as neutral and objective a manner as possible", without the involvement of the writer's interpretation or judgements (Peters, et. al., 1987). In terms of two of the parameters posited by Longacre (see Chapter Three, where expository discourse is minus in terms of both agent orientation and contingent succession)

While procedural and hortatory discourses are plus in terms of agent orientation and are orientated primarily to the second person pronouns, it is not so with expository discourse. The organization of information in expository discourse is orientated to themes rather than to participants. So third person pronouns and deictics are typical of this discourse. The following short text will illustrate the above textual features:

Text 5

Dalam sebuah kalimat, seringkali terdapat kata-kata
in classif. sentence often TER-find word word

yang berfungsi membuat subyek lebih jelas atau
which BER-function NG-make subject more clear or

mempertegas kedudukannya.
NG-make clear position-it

Kata-kata demikian disebut keterangan subyek. (....)
word word such DI-call explanation subject

(From Razak, Kalimat Efektif, 1985:11)

Notes:

1). Classif. stands for classifier.

- 2). /TER-/ is a verbal prefix indicating involuntary action and is intransitive in nature.
- 3). /BER-/ indicates that the verb is reflexive, one of the meanings of which is 'has...of'.
- 4). See the SL text 1 of Chapter One for the meaning of other verbal suffixes (pp. 6).

The exposition in the above text centres around the words kalimat and kata-kata in sentence (1). The verbal prefixes /TER-/ in (1) and /DI-/ in (4), and the suffix /-NYA/ in (3) indicate patient subjects and third person reference. As such, the exposition is impersonal and direct, in the sense that the expositor is not involved in the text.

However, the expositor and 'first person' pronouns can come into an expository discourse, as the voice of the expositor himself. For example, in the above text, the interpersonal voice implied in the verbal prefixes /TER-/ and /DI-/ can be changed into one which is more personal. Changing these prefixes into kita 'we' functioning as proclitics with the verbs would make the text personal and indirect, in the sense that the expositor participates and collaborates in the text. When this kind of lexicogrammatical realization dominates in the text, it becomes an indirect (i.e. collaborative) expository text (Nash, 1980).

4.3.4. Narrative Discourse

A narrative discourse is one where the two parameters, contingent succession and agent orientation, apply. It can be plus projection, as in prophecy (unusual), or it can be minus projection, as in stories (usual).

The purpose of a narrative discourse is to 'recount events', usually in the past (Larson, 1984). The agent orientation of a narrative discourse is usually the third or first person, i.e. either the narrator tells about the things happening to someone else or to himself. A narrative discourse may have episodes, and each episode has a unity of participants, location, and time (Larson, 1984).

In English, the unity of time can be shown through the tenses of the verb (apart from temporal conjunctives). In BI, however, such tense is absent. So the unity of time in narratives is normally realized through temporal deictics and temporal conjunctives.

Apart from unity of time, a narrative in BI can have a figure-ground pattern. Sometimes, the events recounted can be grammatically marked with the verbal prefix /NG-/ to show backgrounded events, and the prefix /DI-/ to show foregrounded events (examples from Purwo, 1986):

Text 6

- 1). Johnny mendorong piring kosongnya sedikit
Johnny NG-push plate empty-his a little

ke tengah
to middle
- 2). Dia tidak mengambil pisang tapi mengeluarkan
He not NG-take banana but NG-take out

rokok dari saku
cigarette from pocket
- 3). Diambilnya sebatang
DI-take-it one (piece)
- 4). Dinyalakannya
DI-light -it
- 5). Leo memperhatikan temannya tanpa berkata
Leo NG-watch friend-his without BER-say

apa-apa
nothing
- 6). Didorongnya piring kosongnya
DI-push-it plate empty- his

(.....)

(From Marga T, Badai Pasti Berlalu, 1976, as quoted by Kaswanti Purwo)

Notes: The meanings of the verbal prefixes can be found on p. 6 (Chapter One).

Here, while /NG-/ clauses in (1) and (2) can start a series of events, such

a clause can also mark a change of series of events and of participants (Clause (5)).

Apart from the above function (i.e. the foregrounding function), as indicated in Chapter One, the verbal /DI-/ prefix can be topicalized in indirect narrative, i.e. in the recount of speech events (see Chapter Three for direct and indirect narratives). In this case, the /DI-/ prefix can be attached to the reporting verbs, thus making the text an impersonal narrative.

4.4. Concluding Remarks

In this chapter we have examined the written discourse types published and used in Indonesia. We have also examined general exposure to these types, which is mainly passive. As well, we have examined how these genres are related to readership. All this implies the kinds of genres that are available in the culture, the kinds of genres that people should be able to use (due to exposure, active or passive), as well as the kinds of genres that people choose to use (as indicated in the letters to the editor of *Tempo* magazine mentioned earlier on).

Through the available genres that people use, frequently or less frequently, eight texts were selected to be translated into English by the students of the Academy of Foreign Languages in Malang, Indonesia, the translations of which are examined in Chapters Five to Eight of this thesis (the eight Indonesian texts were described in Chapter Two as well as Chapter Three). It is now time to turn to the analysis of the translations in the chapters of analysis.

Footnotes On Chapter Four

- 1). International Literary Market Place (ILMP) is an annual publication wherein lists of publishers and types of materials published around the world are given, covering 160 countries. The present data is one from 1984-1985, which give us a general picture of the kinds of materials published in Bahasa Indonesia.
- 2). The exhaustive list of titles are: Law, economics, medicine, sciences (popular, exact, or social), psychology, literature (covering poetry and drama), politics, religion, history, engineering, architecture, arts, music, education, public health, industry, agriculture, sociology, fiction, mathematics, physics, biography, philosophy, taxation, language, librarianship.
- 3). G. Poedjosoedarmo as quoted by Nicholls (1981) would refer to such text as 'descriptive'. On the other hand, Keraf (1982) would refer to such text as narasi ekspositoris 'expository narrative'.
- 4). Descriptive discourse is essentially different from expository writing in that it is simply describing something as we see it, i.e. not analysing or interpreting it (Longacre, 1983; Larson, 1984).

CHAPTER FIVE

THE TRANSLATION OF PROCEDURAL DISCOURSES

5.1. The Procedural Discourse Revisited

To recall from Chapter Three, procedural discourse has three basic characteristics: (1) It has contingent temporal succession; (2) It is oriented towards the second person agent; (3) It can be projected or non-projected. When it is projected (in the sense that the actions expressed in steps are anticipated but not immediately realized) the agent orientation is unspecified, as in SL Text B in this chapter.

It has also been stated in Chapter Three that the purpose of a procedural discourse is to take the reader to a set goal, through certain procedures. The prominent information in such discourse is on what is done rather than on who does it. The procedures take the form of sequentially ordered and closely related steps. The steps form the backbone of the discourse in which textual prominence is expressed in the major steps which directly contribute to the thematic development for achieving the ultimate goal.

In Bahasa Indonesia the steps in a procedural discourse are usually realized as direct commands with verbs in the topical position, with or without the softening particle (see pp. 62-3). Apart from being expressed as direct commands, the steps can also be expressed as disguised commands as in modulated sentences, e.g. '.....can be mixed with...'. As well, they can be both disguised and indirect as in impersonal clauses 'then they are put in a container'. When this indirect command occurs throughout the text, we have indirect procedural discourse (realized as /DI-/ clauses in BI). But in a text where the commands are direct, we have direct procedural discourse.

These types of discourse were given to the (student) translators,

together with the sources and circumstances of the text (see pp. 24-7 for the sources and the general circumstances of the procedural texts). The information on the sources and circumstances was expected to guide the translators in their exercises.

In the following, we will examine the SL texts and their translations. We will firstly start with the procedural discourse with direct commands.

5.2. Procedural Discourse with Direct Commands

The following SL text (henceforth SLT) tells 'how to make a face pack from avocado'.

SL Text A

Alpukat Sebagai Masker
avocado as masque

- 1) Buah ini terkenal sebagai sumber protein dan
fruit this ter-recognize as source protein and

sumber kekuatan
source strength
- 2) Namun selain dimakan, kegunaan alpukat adalah
but other DI-eat use avocado is

sebagai 'conditioner' setelah shampoo dan juga
as conditioner after shampoo and also

sebagai masker
as masque
- 3) Caranya mudah saja
manner-it easy just
- 4) Buatlah bubur dari separo alpukat yang masak
make-lah pulp from half avocado which ripe
- 5) Bila kulit wajahmu termasuk kulit kering
if skin face-your ter-include skin dry

campurlah bubur alpukat ini dengan sedikit susu
mix-lah pulp avocado this with a little milk

- 6) Bila kulitmu termasuk jenis kulit berminyak
if skin-your ter-include kind skin, ber-oil

bubur itu dapat kau campur dengan sesendok teh
pulp that can you mix with a spoon tea

merah telur
red egg
- 7) Sebelum kau oleskan ke wajahmu, cucilah dahulu
before you smear-kan to face-your wash-lah first

wajahmu bersih-bersih
face-your clean-clean
- 8) Lalu oleskan dengan merata
then smear-kan with thorough
- 9) Biarkan selama 20 menit
leave-kan duration 20 minute
- 10) Kemudian bersihkan dengan air hangat
then clean-kan with water warm
- 11) Perlu kau ingat bahwa untuk masker belilah selalu
need you remember that for masque buy-lah always

buah yang segar
fruit which fresh
- 12) Tangguhkan dahulu bila ada luka di wajahmu
postpone-kan first if exist injury in face-your
(From 'Gadis', Nov. 1983:89)

Notes:

- 1) Numbers indicate numbers of clauses or sentences, in accordance with the procedures.
- 2) The explanation for /BER-/ and /TER-/ prefixes can be found on p. 70.
- 3) See p. 7 for the meaning of /-KAN/ and /DI-/.
- 4) See p. 63 for the meaning of /-LAH/.

The text is written in an Indonesian magazine, nationally circulated for young readers, in which all sorts of articles are presented (see Chapter Two, p. 24). In the issue where SL Text A appeared, there were eight other procedural discourses of various kinds, where direct, personal commands with kau and /-MU/ 'friendly you' were dominant (other commands being through involvements with 'we' or hortative expressions with marikita 'let's' (cf. SLT B).

As indicated before, the use of the pronouns /-mu/ or kau in Indonesian texts is an indication that the writer has deliberately attempted to create a friendly relationship with his readers.¹⁾ The fact that the medium where the discourse appears can be considered informal enables the writer to use such pronouns, which would be very rare in a more formal situation such as in a schoolbook, even though in both cases the readers are young readers. For example, in the book of science readings for the primary school, the friendly pronouns are avoided, and texts such as SLT B are used instead.²⁾

The role of the writer here is to 'direct' or 'instruct' the readers, through the procedures, to arrive at the goal of cleaning the face with the avocado face pack (for cosmetic purposes). The writer has the authority of knowledge concerning the matter, whereas the readers are the recipients of the directions given by the writer. This kind of role relationship is more or less hierarchic in nature. It is precisely this nature of relationship which enables the use of the direct and friendly pronoun kau in BI.

Apart from the above features of interpersonal meaning, another feature of the text worth explaining is how the text is structured. The first thing to notice at the beginning of the text is that it does not explicitly mention the ingredient(s), since avocado is the only substance involved. Hence, unlike a typical recipe, both the ingredients and the procedures are simultaneously presented in the text. It starts with an introduction (sentences (1) and (2)), which contains a short explanation about the general and common advantages of avocado, before introducing other uncommon uses in (2), one of which is as face pack for 'cleaning the face'. Sentence (3) constitutes a 'how-to-do' performative statement, in which the word caranya 'the manner' takes the reader to the set of procedures.

In fact, the above word is a common generic signal in Indonesian

procedural discourses, which marks the beginning of the series of steps. However, in the SLT, this signal does not indicate clearly which item(s) in the introduction the writer wants to describe further in the main body of procedures: whether they are about the conditioner or the face pack. Such relationship is only implicit, since not until sentence (5) do we know that the procedures are about the face pack. In the English version, on the other hand, this can be made explicit (see TLT 1 of this chapter).

The procedures are expressed in sentences (4) to (10) which tell the reader about how to prepare the face pack and how to apply it on the face. These procedures are intermingled with conditions expressed in conditional sentences with bila 'if'. As such, these procedures actually comprise two sets: (a) The preparation of the face pack (sentences (4) to (6); and (b) its application on the face (sentences (7) to (10)).

The text ends in the statement of advice to conclude the text (sentences (11) and (12)). The statement in (11) seems to be related to the first set of procedures, while that in (12) is one for the second set. The relationship of the advice to the main body of the text is not very explicit. It can only be inferred from the context, for example, that the word belilah 'buy' in (11) can be perceived as related to the preparation of the face pack rather than to the application on the face. The TL versions, however, could make the relationship explicit (as in TLT 4).

Apart from the two features described above (the text's pragmatic context and the structure), there are yet other features to describe: prominence, information and cohesion. As stated at the beginning of this chapter, prominence is related to the major steps which form the backbone of the discourse. At the micro level, this prominence is realized as clausal topic-comment structure. In embodying the (macro) prominence through the various realizations of discourse, the topic units are constantly

referred to the higher textual level, so the translation can successfully express the intended prominence of the SLT.

As indicated previously, prominence in procedural discourse is related to the steps leading to the goal. At the micro level, these steps are realized as direct, personal commands in the text. Thus we have direct commands with buatlah 'make' in (4), campurlah 'mix' in (5), as modulated command with dapat kau campur 'you can mix' in (6), as other direct commands with cucilah 'wash' in (7), oleskan 'smear' in (8), biarkan 'leave' in (9), and bersihkan 'clean' in (10).

It has been indicated before that there are three kinds of prominence: prominence with thematic value, prominence with focus value, and prominence with emphatic value (see Chapter Three, pp. 45-6). These distinctions apply to SLT A: While the (avocado) pulp is thematically prominent throughout the text, each set of procedures has different (prominent) foci, indicated by the suffixes /-LAH/ and /-KAN/. These suffixes derive from different syntactic origins: imperatives with /-LAH/ indicate that the grammatical subject is actor, and those with /-KAN/ have patient as the grammatical subject (cf. Rafferty, 1983). Hence while thematically consistent to the 'avocado pulp', the procedures also carry (focal) prominence.

The particle /-LAH/ is to indicate that the command is both prominent and focal although it is non-initial (Rafferty, 1983:9). The focal device can be present or omitted depending on need: Once the focus is known (see (4) and (5)), the focal direct commands with /-LAH/ can be replaced with the modulated (thus softer) command in (6). The particle /-KAN/, on the other hand, is an indication that the (prominent) command has a tie with an object, whether the object is given a lexical expression or not. In our case here, the object, which has been established as the 'affected' through the series of steps in (4) to (6), is not given a lexical expression in (7) to (10).

The above phenomenon of implicit mention has consequences for the cohesion mechanisms and information structures in SLT A. Once a piece of information has been established (thus old information), it can be deleted. Hence while referential cohesive ties are more explicit in the first set of the procedures, such ties are only implicit in the second set (through the elided complements). However, apart from cohesion through lexical repetition and referentiality, cohesion in SLT A is also realized through the suffixes in the command verbs, thus tying the commands and the agency entailed in them.

After examining SLT A and the circumstances in the text, we will examine certain TL versions, in the following. We will discuss the English versions in terms of discourse features described in the SLT above.

5.2.2. The TL Versions

TL Text 1 Making Masque from Avocado

(1) The fruit is recognized as sources of protein and strength. (2) But apart from being for food, avocado is also used as 'conditioner' after shampooing your hair and as masque for your face. (3) Making the masque is easy. (4) Make avocado pulp from a half of ripe avocado. (5) If you have a dry skin, mix the pulp with a little milk. (6) But if it is oily, you can mix it with a teaspoon of egg yolk. (7) Before smearing it on your face, wash it clean first. (8) Then apply it thoroughly. (9) Leave it for 20 minutes. (10) Then clean it with warm water. (11) Always remember to buy fresh avocado for masque. (12) Do not apply the masque if you have injuries on your face.

On looking at TLT 1 we can see that it expresses the same generic structure as its SL version, with a slight difference in sentence (3). In the TL version sentence (3) forms a semantic unit together with the introduction of (1) and (2) rather than forming a separate performative statement as in the SL version.

However, unlike its original version, sentence (3) of the TL text is more explicit in that it refers to the word 'masque' in (2) through lexical repetition (which is ambiguous in the SL version). This case is recognized in translation practice as the notion of 'explicitation', which is a case of making the context of the TLT more explicit than it is in the SLT. The same phenomenon is also found in the translation from English to French (Blum-Kulka, 1986).

Apart from such difference in explicitness, other elements of the discourse structure are expressed in pretty much the same way as those in the SL version. The procedures are also expressed and ordered in the same way as those in the original text. Hence from the point of view of global structure, TLT 1 is satisfactorily equivalent to its original version.

However, there is a shift of interpersonal meaning in the translated version. While the commands remain direct and personal in the TL version, and thus preserve the original degree and kind of obligation in the SL text, this is not the case with the meaning related to the pronoun used. It has been stated before that by choosing /KAU/ and /-MU/ the writer of SLT A has made a deliberate attempt to be not only informal but also relatively friendly to his readers. This is not the case with the TL version, in which the relationship is neutral. Thus there is a shift of pragmatic meaning in the interpersonal relationship between the interactants.

The above shift of interpersonal meaning involving the 'you' pronoun cannot be avoided, since no similar device is available in the English lexicogrammar. The commands in TLT 1 can only be direct and personal with neutral relationship in regard to the interactants. The SL text, however, is marked in terms of such relationship. The Indonesian equivalent to TL text 1 would be to use the neutral pronoun, i.e. anda, which is a little more distant than kau above (see Johns, 1981:4).

This shift occurs as a natural result of translation, and it does not

affect the text type and its function. The shifts of explicitness (making explicit certain elided elements) in this text are concerned with the object in sentence (7) to (10) where there is an overt reference to 'the avocado pulp (it)' of the previous clauses (cf. the covertness in the SLT). This has created a further shift of cohesive pattern in the TLT, especially in the second set of procedures: from a covert cohesion, partially expressed through the suffix in the SLT to an overt one in the TLT.

These shifts are yet more obligatory consequences of translation. Nowhere in the TL (English) system can commands with material verbs such as 'smear', 'leave', etc. be expressed without complements (i.e. the masque). The shift of cohesion pattern has thus resulted from conforming to English grammatical norms. As well, the focus given to the command verbs in the SLT through the use of the suffixes is lost in the translation, since while focus is systemic in BI, it is not so in English. Such absence is only natural and it does not alter the equivalent status of the TL text. In other TL versions, where the shifts are also optional, certain further shifts might occur, which do affect the equivalence, as in the following.

TL Text 2

Avocado for Mask

1) The fruit is famous as the source of protein and as source of strength. 2) Other than eaten, avocado is also used for conditioner after shampoo and also for mask. 3) It is very easy to make. 4) Mash a half of ripe avocado. 5) If your face skin is considered as dry, please mix the avocado mash with a little milk. 6) If your face skin is not the dry kind, you should mix one teaspoon of egg yolk in the mash. 7) Wash your face first before applying the mash. 8) Then spread the mask on your face. 9) And wait for 20 minutes. 10) Then clean your face with warm water. 11) Remember, buy fresh avocado every time you make mask. 12) Lastly, if you have pimples on your face, let them cure before applying the mask.

On comparing TL 1 and 2 we can see that in both versions there are shifts of contextual meaning, but of different kinds. Shifts of interpersonal meaning in TLT 1 are caused by the unavailability of concepts with the same meaning as in the SLT (other things can be considered equivalent in them). On the other hand, shifts of interpersonal meaning are more than this in TLT 2.

If we look at sentences (5) and (6), the translator of TLT 2 has chosen to make the direct commands in the SLT as 'advisable' in (6) and as a 'request' in (5). While the shift in (6) has resulted in a less strong command than the original, that in (5) is not a typical English realization of 'expressing steps' in an English procedural discourse.

Apart from the above interpersonal shifts, shifts of cohesion have also occurred. Here there are two cases of optional shifts of cohesion: the translator has added the cohesive devices 'and' in (9) and 'lastly' in (12). The one in (9) still forms part of the procedures, but the one in (12) does not. So the cohesive device 'lastly' here is wrongly applied, since it can be perceived as forming a part of the procedures, which is not the case.

Despite such shifts, the text remains a procedural discourse and thus preserves the purpose of the SL version. The (optional) shifts occurring are localised: they only affect sentences (5) and (6) in terms of the degree of obligation and affect (9) and (10) in terms of adding linkers. But these optional shifts do alter the status of equivalence of the TL version, causing it to be less equivalent than TLT 1: it is equivalent, but with a localized shift of interpersonal meaning and of cohesive ties.

When optional shifts affect more of the steps in the procedure, the equivalence status can be questioned. This is shown in the following TL version.

'Avocado as Masker

(1) Avocado is famous for sources of protein and strength. (2) Apart from being consumed, it can be used for conditioner and masker. (3) How to make the masker is easy. (4) First mash half of ripe avocado. (5) If your skin is dry you must mix the mashed avocado with a little milk. (6) If your face has an oily skin, you must mix it with a teaspoon of egg yolk. (7) Before you apply it on your face, you must wash your face first. (8) Then spread it thoroughly on your face (9) And leave it there for 20 minutes. (10) After that you must clean your face with warm water. (11) Notes: You must postpone putting the masker on your face if you have injuries. (12) And use fresh avocado for masker.

While the above TL version remains as personal (though more direct) as TLT 1 or 2, the translator of TLT 3 has chosen to use stronger obligations with 'must' in most of the procedures (cf. TLT 2, in which such obligation is used only in some of the procedures-- although it is also used in the closing). As well, the translator has used three additional linkers: 'first' in (5), 'and' in (9), and 'after that' in (10).

This optional shift related to interpersonal realizations is dominant in TLT 3 (five procedures out of eight are shifted in the second set). These shifts significantly affect the interpersonal relationship expressed in TLT 3. The translator of TLT 3 imposes stronger obligation than the original version. Furthermore, the use of additional linkers has created a more rigid order of procedures than that in the SLT (see sentences (5), (9), and (10) in the TLT). These shifts have caused TLT 3 to be the least equivalent of all the three TL versions discussed so far to the SLT.

When we compare the three versions again, we can see that the three translators have paid little attention to the lower level of lexis, especially those concerned with the key terms of cosmetics. The word '(avocado) mash' (TLT 2) can still be accepted as a variant for 'face pack' in this particular context. The word 'masque' (TLT 1) is a little bit

archaic, and does not really fit in the context, but can still be accepted as containing the concept of face pack. The word 'masker' (TLT 3), however, is not suitable for the particular context, because, in English, it refers to the 'person wearing a mask' or 'a person who takes part in a masquerade' (Collins English Dictionary, 1979:906). The word 'masker' has been widely misused in BI to mean 'face pack'. The translator of TLT 3 has used the Indonesian meaning and applied it in his translation. In fact, five of the eight Indonesian translators have used the word 'masker' in their translation.

Translators who pay attention to both the generic level and the lexical as well as the syntactic level can produce what Larson calls idiomatic translation (1984), as in the following text:

TL Text 4

Avocado for face pack

(1) and (2) Apart from being consumed, avocado can also be used as an after-shampoo conditioner and as face pack. (3) This is how to make the face pack. (4) Mash half of a ripe avocado. (5) Add a little milk to the mashed avocado if your face is one of those dry ones. (6) Or mix it with a teaspoonful of egg yolk if your face is of the oily kind. (7a) This is how to apply it on your face. (7b) Firstly, wash your face clean. (8) Then apply it thoroughly on your face (9) and leave it for 20 minutes. (10) Lastly, clean your face with warm water. (11) Remember: (a) Always buy fresh avocado for the face pack; (b) do not apply it on your face when you have pimples.

The above translation is done by the Australian resident, which is different from its original in the following ways: (i) The commands are more direct; (ii) The translator has consistently put the verbs in the topical position apart from the conjunctions; (iii) The translator has effectively marked the beginning and the end in each of the series of steps ('firstly' in (7b) and 'lastly' in (10)); (iv) The grammatical grouping is

more direct and less wordy (e.g. the combination of clauses (1) and (2) through the dependency relation).

Another translation with a similar effect as that above is one done by the other Australian resident (see TLT X in Appendix I-A). This shows the fact that those who have more control of the language are able to relate the lower levels to the higher ones. Failure to refer to the higher level could result in a mistranslation, as in the following TLT.

TL Text 5

Avocado for Mask

(1) Avocado fruit has been well-known as a source of protein and strength. (2) It can also be used for hair conditioner and face mask. (3) How to make the mask is as follows. (4) Make porridge of half ripe avocado. (5) If your skin is of dry kind, you should mix the avocado porridge with a little milk. (6) If your skin is of oily kind, you should mix the porridge with a teaspoonful of egg-yolk. (Only the first six sentences are presented here. The complete text can be found in Appendix I-A, Text VI).

The above TL version is comparable to TLT 2 in terms of the shifts of interpersonal meaning (see the shifts involving modals in sentences (5) and (6)). The striking difference between this text and other previous translations is in the translation of bubur alpukat, which is a case of a mistranslation (TLT 5).

In fact the translations of bubur alpukat in all the four TL versions vary. These variations are traceable to the possible variables of concepts underlying such terms in BI and in English. While the words 'mash' and 'pulp' express the general concept of 'soft and soggy substance', the word 'porridge' refers to something eatable (Collins English Dictionary, 1979). These concepts can all be expressed with the word bubur in Bahasa Indonesia (see Echols and Shadily, 1975). While the English concept is over-differentiated, it is not so in BI, where it is relatively underdifferen-

tiated.

In opting for the most probable English nominal group from among the possible options, the translator of TLT 5 has not made reference to the level above the nominal group, i.e. discourse, or the level of global context of the text. The fact that the avocado is here used for cosmetic purposes (rather than its more common gastronomic purpose) in the SL has caused a misplaced intervention from the translator (three translators have opted for this, as in TLTs VII and VIII in Appendix I-A). In this way, the use of 'avocado porridge' in the English version is not acceptable in the English lexical system, since, intrasystemically, it shifts in referential meaning. As such, TLT 5 constitutes a bad translation.

TLT 5 fails to take into account what Hartmann (1980) calls 'rules of pragmatic appropriateness'. In normal translation, this text should be disqualified as an adequate translation, due to the referential inappropriateness. The referential (as well as pragmatic) inappropriateness should be considered as a parameter for deciding the status of equivalence, despite its generic coincidence otherwise.

5.2.2. Recapitulation

The following Table (5.1.) shows a general recapitulation of the previous discussion. The shifts occurring and their effect are represented in the Table. Apart from the five texts discussed earlier, five other texts are mentioned in passing and can be seen by referring to Appendix I-A (texts from the Appendix are in Roman numbers). These latter five texts are represented in the following Table alongside the evaluation of the five TLT versions already mentioned (but the texts referred to in the Appendix are in Roman numerals).

Shifts occurring	Consequence	TLT
1- Obligatory shifts only	-grammatical correspondence -generic equivalence	-TLTs 1,2(plus local interpersonal shift) TLT III and IV
2- Optional shifts:		
a - local interspers.	-less equivalent	-TLT 2 (also above)
b - global interspers.	-pragmatic inappr.	-TLT 3 (plus intrasystem shift of referential meaning)
c - grammatical grouping	-idiomatic, more effective translation	-TLT 4, X
d - linkers, cohesion	-more explicit context than SLT	-TLT 4, X
3- Intrasystemic referential shifts	-pragmatic inappropriateness	-TLT 3 (also above), 5, VII, VIII
Total of TL texts		10
(1 to 5 are from the previous discussion, those in Roman numerals are from Appendix I-A)		

Table 5.1. Recapitulation of shifts in SLT A

When we look at the Table we can see three kinds of shift: (i) obligatory shifts dictated by the grammar; (ii) optional shifts dictated by the translator's discretion; (iii) wrong referential shifts caused by the failure to refer to the higher textual level in translation or by misuse in BI.

As can be seen from the Table, the three kinds of shift result in different effects. Some effects still result in a satisfactory translation equivalent, but some do not. So, although the above three kinds of shift may still maintain the SLT purpose, the third kind of shift is interpreted differently. Maintenance of purpose does not seem to be sufficient by itself as a parameter for translation equivalence. It should be accompanied by TL pragmatic appropriateness, whether such appropriateness is

accompanied by optional shift or not. It seems that optional shifts are not the only factors causing mismatches of text types as hypothesized in Chapter Two. In some cases, shifts must be made, as in the translation of the following SLT.

5.3. Procedural Discourse with Indirect Commands

SL Text B
Ikan Asin
fish salty

- 1) Pengawetan ikan yang mudah dan murah terutama
preservation fish which easy and cheap especially

untuk para nelayan adalah pengasinan
for plural fisherman is salting
- 2) Caranya sebagai berikut
manner-its as follow
- 3) Ikan yang akan diasin dibersihkan isi perut
fish that will DI-salty DI-clean-kan content bowel

dan sisiknya
and scale-its
- 4) Setelah dibersihkan disimpan dalam suatu wadah
after DI-clean-kan DI-keep in a container
- 5) Disusun berlapis dalam wadah itu
DI-arrange BER-layer in container that
- 6) Dan diberi garam setiap selang selapis ikan
and DI-give salt every alternate a layer fish
- 7) Kemudian air akan keluar dari ikannya sehingga
then water will out from fish-def. so that

garam akan larut dan diserap oleh ikan, sampai
salt will dissolved and DI-absorb by fish until

garam terserap merata
salt TER-absorb thorough
- 8) Setelah itu dijemur sampai kering
after that DI-sun-bath until dry
(From: 'Cara Pengawetan Ikan',
Sipedas Ken Dedes, Malang, 1984)

Notes:

The meaning for the affixes can be referred to the notes in the previous SL texts.

On comparing SL texts A and B, we can see that while SL text A has been for young readers, SL text B is more for general readers. This is shown by the use of the indirect commands with /DI-/ verbs, without explicit mention of 'you' as in SL text A.³⁾

There is a relative distance between the writer and addressee in this text. The complete avoidance of personal pronouns throughout the text is an evidence of such a relationship. The avoidance is expressed through the clauses with /DI-/ verbs. In fact, the /DI-/ verbal prefix can be a realization of any of the following: a) canonical passivity, with patient as the grammatical subject (see Chung, 1976); b) object topicalization, which is a case of thematic complement in Halliday's terms (see Halliday, 1985); c) an indication of suppressed subject (see Thomas, 1978); d) indirect impersonal imperatives (Rafferty, 1982). If we take sentence (3) as an example, we can see that it is a case of object topicalization. It topicalizes ikan yang akan diasin 'the will-be salted fish' and makes it prominent information in the sentence, rather than isi perut dan sisiknya 'its bowel and scales'.

In fact, this latter complex noun (i.e. isi perut dan sisiknya) together with ikan is the semantic subject of the whole sentence. A common passive construction for (3) would be Isi perut dan sisik ikan yang akan diasin dibersihkan, where Isi perutakan diasin is both the grammatical and the semantic subject of the sentence. The prominent information then changes to parts of the fish instead of the fish itself.

It is for this reason that the /DI-/ verbal prefix can be interpreted as foregrounding, and as such can obscure the clause's function as a command, even in the presence of the generic signal 'caranya' in (2).⁴⁾ SLT B has just such an inherent generic ambivalence: it seems to have an unspecified agent orientation, compared to the you-orientation in SLT A. It

is here that the translator's intervention becomes necessary for determining which meaning realization to choose in the TL version.

Apart from the above generic ambivalence, the title of the text does not have the explicit 'how to' expression of procedural discourses. It starts with an introduction in (1), orientating the reader towards what the whole text is going to be about and what the procedures will be concerned with. Like SLT A, the phrase caranya 'the manner' in (2) takes us to the set of procedures. The suffix /-NYA/ 'its' in caranya refers to pengasinan 'salting'.

The procedures are expressed in (3) to (6) with a closing in (8), which also constitutes the goal of the whole procedure. The set of procedures and the goal are separated by sentence (7), which is a description of the natural results of the process done through (3) to (6). As such, the statement of results in (7) could be mistaken as part of the procedures. There are two factors which could lead the reader to such mistaken interpretation: a) its place before the goal (cf. SLT 1, which places non-procedures after the goal); b) the description also uses the same grammatical realizations with /DI-/ verb in part of the sentence (see the second clause in this sentence).

Apart from the above description of context and structure pertinent to SLT B, the prominence and cohesion in the text also contribute to a characteristic feature of the translations. It has been stated above that ikan 'fish' is the topicalized object in (3). However, ikan is not always given lexical expression in the procedures following (3). In point of fact, the word ikan has been mentioned in the establishment of the discourse in (1), and is expressed again in (3). By then, it has become 'old information', and since it is old, it can be deleted in (4) to (6) and in (8). By doing so, prominence can be given to the verbs, the activities in the procedures, making them both topical and focal in these sentences

(instead of topicalizing ikan).

The above information structure and topic identification create cohesion through (partial) ellipsis in SLT B (similar to the ellipsis affecting complements in SLT A). Such partialness is shown by the consistency of /DI-/ prefixes in the verbs, which itself forms a line of cohesive ties in the text.

But cohesion is also formed through the relations with setelah 'after' in (4), dan 'and' in (5), serta 'also' in (6), kemudian 'then' in (7), and setelah itu 'after that' in (8). While cohesion through such relations corresponds to that in English, it is not the case with cohesion through subject ellipsis in the way we have it in the SL version. This could be observed in the TL versions later. But firstly, we will examine a TL version, which preserves the generic ambivalence of the original, in the following.

5.3.1. TL text 6 versus SL text B: Equivalence or Adequacy?

The translator of the following TL text has attempted to preserve the indirectness and generic ambivalence in his translated version:

TL Text 6

Salting Fish

(1) An easy and cheap preservation of fish, especially for fisherman, is through salting. 2) This is how to do it. (3) The fish are cleaned: the bowel and its scales are removed. (4) After being cleaned, they are put in a container. (5) And they are piled up in layers in the container. (6) As well, in between alternate layers of fish, salt is scattered. (7) Then water will come out of the fish, and the salt is dissolved and thoroughly absorbed by the fish. (8) After that they are put under the sun to dry.

Maintaining the formal correspondence, TLT 6 can be interpreted as either an exposition or a procedural discourse. So it is as ambivalent as its original version, and thus totally equivalent. Indeed, it is possible to have a procedural discourse realized as a description (Larson, 1983; Longacre, 1984). However, realizing procedures as passives all through the text in English procedural discourses is not common and, in fact, very rare (van den Broeck, 1986:43). Passive constructions in TLT 6 above have topicalized 'the fish' in most of the sentences of the text, causing 'the fish' to be the regular topic (rather than making the verbs the topic).

In English, therefore, TLT 6 is more a case of an exposition (i.e. expository discourse) of 'how to preserve fish through salting' than expressing instructions (i.e. procedural discourse). Hence there is a mismatch of text types.

On comparing SLT B and TLT 6 we can see that while the backbone of the SLT is formed by procedures through the /DI-/ verbs, the backbone of the translated version centres mainly on 'the fish'.

At this point it is important to return to one of the research questions posited in Chapter One: What aspect(s) of the text should match in order to achieve translation equivalence? In an attempt to answer this we can examine TLT 6 again and see that the variables of pragmatic context, especially those related to interpersonal relationship between interactants, are well preserved, thus ensuring equivalence in these respects.

On the other hand, if the generic ambivalence is resolved and the text is interpreted as a procedural discourse, the following TL version will be a more acceptable English procedural discourse:

TL Text 7

Salting Fish

- (1) A cheap and easy way of preserving fish, for

fishermen especially, is by salting. (2) It is done in the following way. (3) Firstly, the fish should be gutted and scaled. (4) After being cleaned, they can be placed in a container. (5) They should be kept in layers in the container (6) and scatter some salt in between alternate layer of fish. (7) Then water will come out of the fish, and they will absorb the salt dissolved in the water. (8) Lastly, they can be dried under the sun.

As in TLT 6, the indirectness is rendered in TLT 7. However, TLT 7 does not preserve the ambivalence of the SLT; certain shifts have occurred. The first noticeable shift is one concerned with information structure related to the topics in clauses (4) to (6) and in (8). The deletable old information in the SL is not deletable in the TL: Unless it is a structure of coordination, no subject can be deleted in English unmarked declarative sentences. The lexical expression of subjects in these sentences have created a more overt co-referentiality in TLT 7 than in the SL version (we can recall that such shift has also occurred in the translation of SLT A).

Another important thing we notice in the above TL text is that while it remains as indirect as the SL version, it has shifted in terms of the degree of obligation. The TL version has used advisory commands using the modals 'should' in (3) and (5), the modal 'can' in (4) and (8).⁵⁾ As a result, there is a shift of interpersonal meaning in the TL version: the indirect neutral commands in the SL procedures have been changed into advisory in the TLT.

On the surface, these shifts appear to be optional. However, in the case of SLT B and TLT 7, the issue at hand is not merely about translation shifts and about translator's discretion reflected in the TLT. The more important point here is: On what basis can a TL text be considered translationally equivalent?

If we look back at SLT A and its TL versions, we have taken generic equivalence and pragmatic appropriateness for determining translation

equivalence, which soon prove to be insufficient when we come to the translation of SLT B, due to the generic ambivalence. And it is here that the translator's intervention is much needed and becomes a justifiable behaviour. He has to make a decision: (a) if SLT B is meant to be an exposition, TLT 6 will constitute an adequate translation; (b) but if it is meant to be a procedural text, TLT 7 is an adequate translation.

In any case, the selection between (a) and (b) should not be based on a random, arbitrary decision (cf. Nicholls, 1981:27). The basis for such a decision are the text's purpose, text type, and the TL pragmatic appropriateness. Based on these features, all possible clues for resolving ambiguities should be considered. Then an adequate TL version is chosen from among the possible translations. And the issue at hand is not just 'equivalence' in the sense of 'holding the text-type constant', since it is no more tenable.

In fact, the text type might have to be changed when the SLT is ambiguous. A translator should resolve the ambiguity by using both the pragmatic context and the lexicogrammatical context as clues, e.g. the source of the SLT, generic signals, etc. The resolution is a necessary activity for the translator in this type of text, especially since the text appears as a practical discourse rather than a literary one (in a literary discourse, the ambiguity may be intended by the writer, and should thus be preserved in the translation).

We have been discussing generic ambivalence in an SLT, and the obligation it creates for a resolution. However, among the ten translated versions analyzed, not all translators, knowing the ambivalence, choose to express the text as a procedural discourse in the TLT. The general lexicogrammatical realizations are (ignoring localized shifts, since they are presented under each text in Appendix I-B as comments):

Clausal realizations	!	No. of texts
as commands with imperative	!	4
as disguised, modulated commands	!	2 (the Australian residents)
as passive declaratives	!	4
Total	!	10 TL texts

TABLE 5.2. Clausal Realizations
Across the Ten TL Texts

This shows that, although the translators were aware of the generic ambivalence given to them as notes on the original version (see section 2.3. of Chapter Two, p. 27), not all translators took the liberty of creating shifts in their translation. Rather, they chose formal correspondences (four translators). This is probably due to the limited level of control they have of English in the process of translation. It seems that their concentration on the level of lexicogrammar has caused failure to make reference to the higher level of the text in translation.

5.4. Concluding Remarks

It has been shown in this chapter that: (1) it is possible to maintain a generic equivalence in translation when there is no ambiguity in the SLT; (2) when the SLT is ambiguous, the translation is judged on the basis of adequacy rather than on generic equivalence; (3) although the generic identity can be maintained in the seeking of translation equivalence, pragmatic appropriateness should become a parameter alongside the generic

maintenance; (4) apart from optional shifts, pragmatic inappropriateness seems to be the factor(s) affecting the status of translation equivalence and its status as translation.

Footnotes on Chapter Five :

- 1). Procedural discourses in magazines for women such as 'FEMINA' would use 'anda' or an expression of involvement with 'let's' or 'we' (see Soemaryono and McGarry, Bersenang-senang, Modern Indonesian Publications, Sydney, 1987). Sutan Takdir Alisjahbana, a prominent Indonesian figure in literature and language studies, has called 'anda' a democratic 'you' (see Johns, 1981:4).
- 2). See Buku Pelajaran IPA untuk kelas 6 SD, published by Balai Pustaka, Jakarta.
- 3). Rafferty (1982:37) has indicated that when the /DI-/ prefix is used in an imperative, it lessens the force of the command and makes it indirect.
- 4). Thanks to Prof. Yallop for drawing my attention to the possible significance of this signal when an earlier version of the chapter was presented in a seminar at Macquarie University. In English, he said, while 'this is how to do it' seems to be pertinent to procedural discourse, an expression such as 'this is how they do it' seems to be pertinent to descriptive discourse. However, the Indonesian version of the signal is not as clear as this in terms of agent. So a decision will have to be made by the translators.
- 5). Peters, et al (1987:6-15).