

The Secret Agent: Film dubbing and the influence of the English  
language on German communicative preferences.  
Towards a model for the analysis of language use in visual media

Dissertation zur Erlangung des Grades der Doktorin der Philosophie beim  
Fachbereich Sprach,- Literatur- und Medienwissenschaft der Universität Hamburg

vorgelegt von

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Hamburg, 2005

Als Dissertation angenommen vom Fachbereich Sprach-, Literatur- und  
Medienwissenschaft der Universität Hamburg aufgrund der Gutachten

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Hamburg, den 4. Mai 2005

## Preface

Ich möchte mich an dieser Stelle nur kurz bei all denen bedanken, die mich durch den Prozess des Anfertigungs dieser Arbeit begleitet haben. In ganz unterschiedlicher Hinsicht haben sie alle dazu beigetragen, dass die Arbeit jetzt in dieser Form vorliegt. Ich bin Euch/Ihnen sehr verbunden!



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It is part of the task of linguistics to describe texts.  
M.A.K. Halliday, 1964

## 1 Introduction

A



You never take me to dinner looking like this James.

Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James?

B



You never take me to dinner, period.

Mit mir gehen Sie nicht mal im Pullover aus.

The goal of the present thesis is to provide answers to two questions concerning at the same time English-German contrastive linguistics and translation studies. At first sight, these questions seem, if at all, only remotely connected: The first one is whether and how the English language influences the language system of German and the norms and conventions of language use in German. The second question is: What are the interdependencies between verbal and visual information in what are called "multimodal" texts (cf. Kress & van Leeuwen 1996), and how do they translate across languages and cultures? While the second question has up to now been rather rarely asked and to my knowledge never been thoroughly addressed, several more precise versions of the first one come to mind: Is it the commonly acknowledged status of the English language as a lingua franca in various areas of public life that makes German open up its language boundaries rather freely?<sup>1</sup> Is it the often bemoaned pervasive presence of English loan words in many registers in spoken and written German which attracts an ever more increasing number of follow-up imports? Or is it that too many hurried translators involuntarily dissolve some of the systematic differences between English and German by producing 'bad', word-for-word translations which generate German neologisms by lexical

<sup>1</sup> On the role of English as a lingua franca, its effects on native languages and national language policy see, e.g., Ammon (1994) and House (2002, 2002a, 2003, 2003a,b, 2005) and the contributions to Motz (2005).

mistranslation, contradict, on the textual and syntactic level, conventionalized German patterns of information organization, and push against the semantic selectional restrictions for participants subject position (cf. for example Doherty 1995; Hawkins 1986)?

In this study, the issues of unidirectional cross-linguistic influence and the relation between the semiotic modes of image and language come together in an investigation which is intended to contribute to the question of language variation and language change in language contact via processes of translation. "Language change" is understood as the diachronic development of languages on all formal and functional levels. "Language – or linguistic – variation" refers to the synchronic, register-specific subdifferentiation of the options of linguistic expression available to speakers of a language. Language variation is assumed to be the precursor of language change. Translations are understood to be the gateway for introducing language contact-induced variation into the target language. As instances of language contact translations are the texts in which the spread of foreign-language (i.e. source language) elements and structures through the target language community is assumed to begin (cf. McMahon 1994). The analyses in this study will be carried out on a diachronic corpus of popular English language motion pictures and their German-dubbed versions. For the analytic procedure itself a model of investigating language use in visual media will be developed in this study.

In the present chapter I will give a brief, general introduction to the idea of a relation between multimodal translation and language variation and change in the target language, and I will point out the major theoretical, methodological and analytical considerations involved in the present investigation of this phenomenon.

The example on page 1 is taken from the British-American motion picture *Dr. No* (1962) and its German language version *James Bond jagt Dr. No* (1963). The two pictures A and B are two subsequent frames<sup>2</sup> from a sequence of the film which approximately has a duration of 3 seconds. The example displays several of the problems of language use in visual media which tend to occur in cross-linguistic settings, and which will be addressed in this thesis in terms of source text-induced language variation in translations. First, there are differences in the use of linguistic means between the English original and the German translation: Even without going into an in-depth analysis of the example at this point, one can, for instance, immediately see that in the German translation, lexical means are employed to express explicit evaluations. In A, it is the formal evening dress of the male character that is commented on disparagingly and in a belittling fashion by the prepositional phrase IN SOLCHER AUFMACHUNG. In B, a predominantly self-addressed comment in the source text is turned into an open complaint addressed at the male character: MIT MIR GEHEN SIE NICHT MAL IM PULLOVER AUS. In A as well as in B, the use of linguistic means in the English source text does not overtly express evaluation. If it does at all, one would at least have to argue that it is more hedged and less straightforward than in the German translation.

Secondly, there are differences between the English original and the German translation in the combination, or 'mapping', of verbal and visual information. In

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<sup>2</sup> "Frames" in terms of film are the individual images – photographic pictures – which make up the film.

A, the English source text uses a referentially unspecified pointing device – the deictic pronoun THIS – to refer to visual information, i.e. the formal evening dress. However, the referent of THIS is only disambiguated by the movement of the female character's arm and hand, and her glance toward the handkerchief in the breast pocket of the male character's dinner jacket.<sup>3</sup> The information 'formal evening dress' is thus introduced into the discourse by non-verbal means. In the German translation, the deictic determiner SOLCHER together with the noun AUFMACHUNG is used. AUFMACHUNG refers not only explicitly to the visual information, but also refers to it in a particular, arguably negative, way. In contrast to the source text, the information 'formal evening dress' is fully lexicalized in the translation. Consequently, the German combination of verbal and visual information appears to be more informationally dense than the English one, i.e. the German translation gives 'more' information. In both languages, the deictic means are used to make their referents stand out in the context and elicit the special attention of the addressee with regard to the referent. The difference is that, in the translation, the deictic determiner first points cataphorically to the noun, which introduces an evaluation, and then both – determiner and noun – refer to the visual information.

In B, the interpretation of the utterance as predominantly self-referenced is, in part, based on the accompanying visual information. The female character's head and body are turned away from her interlocutor, she shrugs her shoulder and has her eyes half closed while she speaks. While the utterance is clearly meant to be heard by the interlocutor, and probably some reaction is expected, the bodily posture and especially the use of PERIOD at the end suggest that the speaker has come to terms with or made a decision about a particular issue. The utterance communicates an air of (mock) hopelessness. An equivalent structure is missing in the German translation, with the effect that the complaint expressed by the verbal information is only underscored by the body movement. An impression of annoyance or offence is conveyed.

In this thesis, I will argue that shifts in translation such as the ones described above, which affect the verbal or the combination of verbal and visual information, have consequences for the textual function of the translation text. I adopt Halliday's view of a tripartite division of language into functional components ("metafunctions", Halliday 1978). According to this theory, every text exemplar is seen as realizing a particular configuration of the ideational, interpersonal and textual functional components. Translational shifts, then, affect the ideational functional component of the translated text with respect to the way extralinguistic objects and concepts are referred to – thereby changing the manner of representing and relating experience of the extralinguistic world. Translational shifts affect the interpersonal functional component with respect to the ways of expressing and creating interpersonal relations between speaker and hearer such as, for example, role relationships, which are defined by degrees of intimacy, solidarity and the distribution of power between the interlocutors. On the textual level, shifts in translation result in different realizations of textual cohesion: first, in terms of connections between linguistic elements and the formation of logico-

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<sup>3</sup> In an analysis of the whole film sequence in motion, we would see that the hand and arm movement is accompanied by a slight closing up camera movement, which additionally helps to identify the referent of THIS.

semantic relations between larger parts of the discourse and, secondly, crucially, in terms of the linkage between verbal and visual information.

The latter is so important, because in film, linguistic elements are intricately entwined with their visual co-text<sup>4</sup>. The verbal and the visual are related by a temporally restricted connection, and a translation has to meet this special condition of the medium. The time constraint not only means that the translated text must have been uttered by the time the character's lips have visibly stopped moving. A second fact to consider is that visual referents of linguistic items are only present in the co-text – i.e. visible – for a restricted time. Linguistic item(s) and the visual referent have to have a more or less tight 'audio-visual fit' so that the hearer/viewer is able to make the proper meaningful connection.

The issues of restricted time and the 'audio-visual fit' between verbal reference and visual referent are the major reasons why translation in film might be a place in which the target language system and its norms and conventions of use are vulnerable in a special way and likely to adapt to external factors. The word order of the source text might be one of the susceptible areas, or the grammatical class of linguistic elements. For example, contrary to the prevalent conventions of use in the target language, a translation might opt for reference by short pronouns instead of polysyllabic lexical expressions. In other words, in most other kinds of translation, the translation text is to a certain extent independent from its source text: The translation text can be longer or shorter, it can alter the linear sequence of propositions and the order of linguistic elements in a sentence. In film translation, on the contrary, these strategies are considerably more restricted by the actual presence of the visual information the linguistic structures refer to.

The assumption behind the situation just sketched is that German translations of English films might display prototypical English patterns of information organization and textual cohesion on text and sentence level which are different from conventionalized German forms of structuring and presenting information. The question whether or not a German translation adopts the structure of information organization of its source text, or displays a 'native' use of information structure is not trivial because it is not only significant for the function of the sentence or utterance in question. First, a source text-induced way of presenting information, which originally may be mainly due to the pressure of the external factor of time, might develop into a 'real' communicative preference – that is, into an actual influence of the source language on target text conventions, including permanent effects on translation practice and subsequently on German original text production as well. It is in this sense that translated films may act – unnoticed by the viewers of the target language community – as a 'secret agent' on German communicative conventions, shaping them covertly into the likeness of English. Secondly, the particular choice of linguistic features in the translation text always reverberates with the textual function of the translation as a whole. Changes in the textual function between the source and the translation text almost always seem to have implications for the socio-semiotic perspective the translation text offers on a particular extralinguistic topic. I will briefly expand on both these issues.

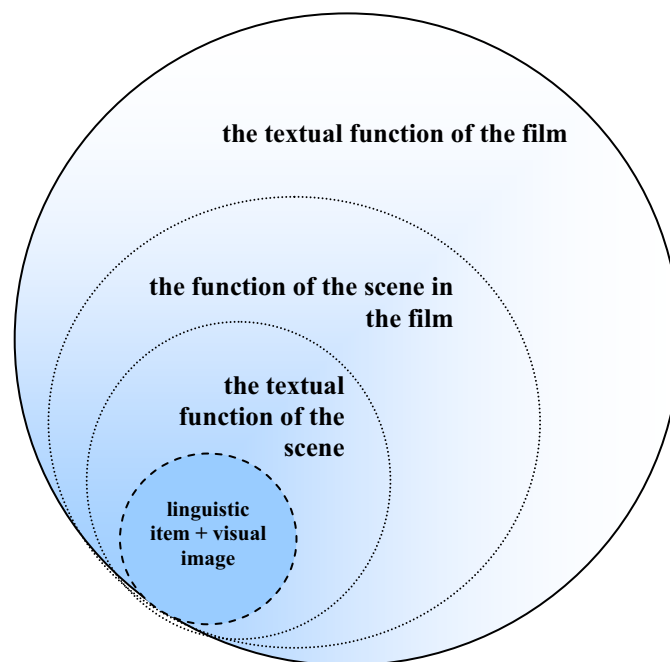
The motivation behind the present investigation is the following: If we assume that target language variation and change in language contact through translations

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<sup>4</sup> "Co-text" is literally accompanying text, i.e. the visual information immediately surrounding the utterance of a linguistic element.

from English into German exists, it seems unlikely that it can be witnessed alike in all registers and text types. Language change in terms of a development in the preferences of usage which become conventions and then more permanent norms depends on a stable, long-term language contact through translation. In a simplified manner, in such a contact situation, 'new', non-native lexical items, grammatical structures and ways of usage are repeatedly introduced into the target language through translated texts. The recipients of the translations and German text producers then proliferate these linguistic phenomena in their native language use. It seems reasonable to suggest that this process will happen most quickly and most thoroughly with text forms in which translations have a mass distribution, a mass audience and – for easier appropriation of the new linguistic features by the individual speaker – a mass appeal. For the language pair English-German and the translation relation English-German, this most popular form of translation has been – for the last 60 years at least – translations of films.

The effects of translational shifts for the overall meaning construction ("social semiosis" in Hodge & Kress's terms (1988)) in a film can be outlined as follows: As described above, in film every instance of language is paired with visual information. The function of a linguistic item in combination with a visual image can be best described by the picture of a number of stratified circles: At the center are the linguistic element(s) and their accompanying visual information. See Figure 1 below:



**Figure 1** Contextual embeddedness of instances of verbal and visual information in film texts.

Figure 1 shows that all combinations of verbal and visual information are enveloped in a formation of multiple contexts. With respect to the text example discussed above, which is an excerpt from a larger text, this means that the

particular choice of linguistic means to map the visual information establishes, first, the textual function of the excerpt itself. But this choice also contributes to the textual function of the scene of which the excerpt is part, and the textual function of this scene contributes to the textual function of the film as a whole.<sup>5</sup> Thus, we have to assume that the function of a particular linguistic item in a text will usually reach beyond the isolated instance of its occurrence, and that lexical and grammatical shifts in translation will affect the function of the translated text on multiple levels.

Because translational shifts on the level of the system – i.e. the lexicogrammar – of the language impinge on the function of the text as a whole in the way just described, the investigation of this interdependency of system and text calls for a theory and a mode of analysis which operationalizes this binary structure. A theory is necessary which takes a combined system–text approach to language, perceiving every text as an instantiation of the language system. The basic theoretical assumptions which allow one to postulate that small facts have large-scale reverberations on multiple levels are that language and visual communication are multifunctional and contextually bound. This view can be traced back to Bronislaw Malinowski's idea of the contexts of the situation and culture enveloping all human behavior (Malinowski 1935). It is also held in the theoretical framework within which this study is grounded, namely Systemic Functional Linguistics (cf. Halliday 1979, 1994; Matthiessen 1995; Martin 1992; Lemke 1995; Kress & van Leeuwen 1996), and as well in a second strand of theory which serves as a general methodological backdrop for the present investigation: the culture theoretical approach of New Historicism (cf. Greenblatt & Gunn 1992) and its practice of analyzing and interpreting texts in "thick descriptions" via "close readings", which originally stem from cultural anthropology (Geertz 1972) and literary theory (Ransom 1941), respectively. Both approaches have in common that explanations for linguistic, literary or cultural phenomena are sought primarily from a socio-semiotic perspective.

The appropriate model for the analysis of language use in film and film translations has to take 'multifunctionality' and 'context' as its basic theoretical concepts. In translation studies, such a model already exists. House (1977/1981, 1997) offers a model for text analysis and translation quality assessment which is based on Systemic Functional Linguistics. This model has been applied to contrastive linguistic and comparative stylistic investigations of a variety of written genres.<sup>6</sup> However, this model cannot be used for the investigation of film

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<sup>5</sup> A blunter example may be in order: Consider, for example, the effect a translation of "you" by the German "Du" in the example above. Immediately, the interpersonal relation between the characters would change in formality, distance and power. The utterances would have to be interpreted in terms of increased intimacy and affect, involving also a reconsideration of the degree and kind of physical closeness displayed. Terms of address and degrees of proximity define the social space in which each individual moves. At a very basic level, one can say that a film depicts a succession of social spaces peopled by characters in interaction. The interpersonal constellation between the two characters in the example would make a different contribution to the overall picture the film draws of the patterns of social interaction for each of them, if "you" were translated by "Du". In the final analysis, such a translational change could very well affect the representation of social concepts such as, for example, gender relations in the film. At any rate, however, each of the characters would be communicated slightly differently to the film's audience.

<sup>6</sup> For the most recent applications, see the investigations carried out inside the Research Center on Multilingualism at the University of Hamburg – e.g. Böttger & Probst 2000; Baumgarten 2003, 2003a, in press; Baumgarten & Probst 2004; Baumgarten, House & Probst 2004; Böttger 2002,



texts and their translations because the method of analysis has to incorporate both the verbal and visual modes of meaning making. This requires a new model based on the integration of methods and methodologies from a broad field of more or less disjoint disciplines, with different objectives, employing different methods of investigation. The main ones are text and discourse linguistics, translation studies, contrastive linguistics, and visual analysis and film studies. The model of analysis which will be developed here draws on all of these and brings them together under the overarching framework of systemic-functional theory. The model is intended to facilitate in-depth qualitative analysis of multimodal texts within the framework of a comprehensive theory of language and visual communication.

In this study, the analytical model will be applied in a corpus-based, contrastive and diachronic investigation of English film texts and their translations into German, carried out with special focus on the language specific combination of verbal and visual information as the fundamental characteristic of the medium film. Besides presenting a comprehensive tool for a theory-based investigation of a prominent, ubiquitous, but, from the point of view of linguistic analysis, neglected type of text, the goal of this thesis is to find out, whether and how the communicative conventions and preferences of German translations have changed over time, whether this change is in the direction of English conventions and preferences, and finally, whether or not visual information plays a role in this process and if so, which one.

The thesis is structured as follows: Chapter 2 explores the notion of language variation and change in language contact through translation, addresses the role of the English language as a global lingua franca in translation processes, and gives an overview of the dimensions of communicative differences between English and German as they have been established by House (1996). Chapter 3 introduces the object of the present investigation – film translations, and the particular significance of translations in film from English into German in the context of 20<sup>th</sup> century German history. Chapter 4 discusses the state-of-the-art in the three disciplines primarily relevant for the development of a model for film text and translation analysis and the investigation of source text-induced language variation in translations: First, translation theory, secondly, English-German contrastive linguistics and language typology, and thirdly, visual analysis and film studies. This serves as the point of departure for laying the theoretical foundation for the investigation in Chapter 5, in which the combination of Systemic Functional Linguistics, social semiotic approaches to visual analysis, theories of cinematic narrative and English and German approaches to register, text and discourse analysis are presented as the central theoretical and empirical parameters in the analysis of film texts and their translations. On this basis, the model for the qualitative analysis of multimodal texts is developed in Chapter 6. Chapter 7 introduces the diachronic corpus of English language motion pictures and their German language versions and describes the method of its analysis. Chapter 8 demonstrates the application of the model of analysis in an exemplary in-depth qualitative analysis of one source text and its translation, and presents the results of the whole of the qualitative analyses carried out for this thesis. Chapter 9 discusses selected linguistic phenomena in terms of the diachronic development of information organization – focusing on the expression of (visual-verbal) textual

cohesion in the English texts and their German translations. In Chapter 10, the results are interpreted against the starting assumptions. Chapter 11 concludes the thesis with a summary of the findings, an assessment of the methodology and a brief discussion of issues for future research.

## 2 Language variation and language change through translation processes as instances of language contact

This chapter introduces the idea of language variation and change in German via translational contact with English. In a first step, I will discuss the notion of 'well-formulated' translation texts and take it as a point of departure to distinguish two general types of linguistic variation that translations are assumed to trigger in the target language. Next, the particular case of translation involving English as source language is addressed. The differences in communicative preferences between English and German are then presented in order to characterize the particular nature of the translation relation English-German. The emerging picture is intended to give a first look at how German translations and original text production might change in translational contact with English. The chapter concludes with the presentation of some general suggestions concerning the role of film translations in target language change.

### 2.1 'Well-formulatedness' and diachronic changes in style

What we do notice instead is a vague feeling of irritation and, perhaps, momentary disorientation. In any case, whatever else the message may be, it is not well formulated. (Doherty 2002: 18)

In the quotation above, Monika Doherty refers to the central requirement translations have to meet. They have to be "well formulated". That is, in her view, translations must comply with the target language-specific 'stylistic principles and grammatical parameters' (Doherty 1995) of (syntactic) information organization, which are determined by the typological characteristics of the language because only these coincide with the equally language specific cognitive mechanisms and preferences in sentence or information processing.<sup>7</sup> Every native speaker will have what Doherty (1995: 183) calls the "allgemeine stilistische Urteilsfähigkeit" with respect to the use of his/her native language and a variety of registers and dialects within. Thus, he/she will intuitively know whether or not a translated text meets with the discourse appropriate requirements in its realization of stylistic principles. If the organization of information in a translated text runs against target language preferences, the native target language reader will experience the retrieval of the relevant information for the decoding of the message as a comparatively cumbersome task. The impeded information processing will lead to "disorientation" and "irritation" (Doherty 2002: 18).

The linguistic sources of this possible uneasiness with respect to the information organization are occurrences of a linguistic phenomenon commonly called interference. In translations, interferences are linguistic elements that are directly transposed from the source to the target text. They appear most frequently in the form of a more or less obvious imitation of the source text's (syntactic) surface structure. Although interferences by no means need to be ungrammatical in the target language, they might be a dispreferred choice due to the violation of

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<sup>7</sup> See Chapter 4 for a detailed discussion of the interaction between language typological characteristics of language use and communicative preferences.

established target language expectation norms, for example with respect to the sequencing of information. Interferences thus can have the effect of stumbling blocks hindering optimal information processing. Consequently, in Doherty's view, such translations cannot be seen as "well formulated".

If we, for a moment, disregard the presence of other target language native speakers involved in the process of text editing, which occurs after the process of translation, but before the publication of the translated text, we have to see the translator and his/her native language use as the sole determining factor for the nature of the translated text. Concurrent variables are, of course, his/her knowledge of target language registers, genres and text types and his/her (implicit) theories about translation. We have to assume that what takes place in the mind of the translator in the process of translation is an ongoing conscious or unconscious negotiation of native language intuition. That is, for every translation unit he or she will weigh up whether to use linguistic structures that comply with the target language's usage conventions or a straightforward linear imitation of the source text's surface structures, which would be grammatical, but possibly flawed with respect to target language preferences in information organization. In other words, in the process of translation, the translator decides for each translation unit either to use a target or a source language structure in the target language text. It is at this point that either by ignorance, negligence or on purpose a linguistic structure that does not constitute preferred use in the target language may find its way into the target language.

In principle, the notion of well-formulatedness – grounded in assumptions about language specific attitudes towards the ease of information processing – in combination with the native speaker's general "generative competence" (Doherty 1997: 85) to judge well-formulatedness would preclude the possibility of both language change through translations and its precursor source text-induced language variation in translations. Translators and native target language speakers would inadvertently always favor sentences and texts which adhere to the language specific stylistic principles.

In his article "Übersetzungen ins Deutsche und ihre Bedeutung für die deutsche Sprachgeschichte" Koller (2000) presumes that in the history of the German language, translators have not always decided in favor of the prevailing German norms of information organization and other preferences in style. He points out that the total of written texts ("Sprachwirklichkeit" Koller 2000: 113) in German has always consisted of both original text production and translations without ever having been clearly marked off from each other. He claims furthermore that, in a historical perspective, translations into German have always resulted in adaptations of the German linguistic system in the sense that stylistic and systematic properties of the source language were incorporated into German. Koller's main argument is that communication across language boundaries challenges the target language to provide equivalent – or at least adequate – linguistic means for the expression of communicative tasks, which may be to various degrees new to the receiving culture. The target language can manage this linguistic confrontation in two ways, and each of them makes a different contribution to the process of language variation and change: Either linguistic features of the source language are introduced into the target language as new linguistic features, or existent usage norms for particular linguistic features in the target language are redefined to fit a new communicative task. According to

Koller (2001), for a given language pair, the pressure on the target language to meet the communicative challenges of the source language decreases with time because an increasing amount of translational practice will reduce the differences in the linguistic repertoire between the languages involved. In this context, it seems reasonable to suggest that the lexical and grammatical repertoire of the language which is more frequently the target language in a particular translation relation will undergo greater variation than the system of the language which is predominantly the source language. It is, however, hard to conceive that the differences between the source and target languages will ever be fully levelled out. Uneven technological and economical progress in the source and the target language communities as well as the socio-political development between them will generally have reverberations in language use, which again will have to be negotiated in translations.

Koller distinguishes two ways of triggering language variation and change in the target language: 'Innovations on the level of the language system' ("Systeminnovationen") and 'innovations on the level of norms of usage or stylistic innovation' ("Norm- oder Stilinnovationen"). It is the stylistic/norm innovations which interest us most in the present context. They are broken down further into qualitative and quantitative norm innovations. Brief definitions will be provided as follows:

Qualitative norm innovations:

The first occurrence of a particular linguistic item, feature or structure in a particular use can be traced back to a translation. This is where its proliferation in native target language use arguably stems from.

Quantitative norm innovations:

In the case of a quantitative norm innovation, a particular linguistic item, feature or structure occurs in both translations and original texts in the target language. However, its occurrence in translations is triggered by a similar structure in their source texts and is on the whole significantly more frequently found in translations as compared to original texts produced in the target language.

For certain, it is generally the case that surface phenomena such as usage and stylistic preferences (*Norm-/ Stilinnovationen*) are more susceptible to change than the underlying linguistic system (*Systeminnovationen*). At the same time, the existence of Koller's 'qualitative norm innovations' is almost impossible to verify. The definition of 'quantitative norm innovations', however, is in agreement with the view of translation-induced language change held in this study: The frequent translation of source text structures by grammatical, but less used linguistic structures of the target language can, over time (through sheer frequency), marginalize other linguistic means used for the particular communicative function in the target language, and it may eventually override prevailing norms of usage in translation and original text production in the target language. The result of this linguistic variation would be a change in communicative preferences. (These 'new' communicative preferences would subsequently be seen as prescriptive stylistic principles on the part of contemporary native speakers).

An important point to note in this context is that, in a synchronic view, the linguistic structures used in a majority of texts in a given language naturally must

appear as stylistic preferences. Once established, preferences in style are easy to conjoin with hypotheses dealing with the nature of language specific cognitive processing (as for example the one put forth by Doherty discussed above). Yet, following Koller's view, in a diachronic perspective, it would seem that the idea of language specific cognitive constraints on information processing, framed as native speaker intuitions of well formulated sentences, and their linguistic expression in preferred surface structures, are no insurmountable inhibitions to language change through translated texts.

## 2.2 English – lingua franca as source language

The specific shape that language variation and language change take in a situation of language contact is dependent on the pair of languages involved. Furthermore, language variation and change through translations depend on the dominant direction of translation between the languages. House (for example 2002a, 2004, 2004a) argues for the existence of special conditions for language contact and language variation and change in communicative constellations in which one member of the language pair is English. Before addressing the question of English as a source language in detail, a brief general account of cultural specificity in translation is necessary.

According to House, all translations can be characterized as either being "overt" or "covert" translations (House 1977/1981, 1997). The distinction is made by answering the question whether or not the linguistic means used in the translation express source or target culture specificity. "Overt translations" display a choice and use of lexical elements and syntactic structures that are grammatical, but to a certain degree out of step with operating target language specific communicative conventions and text norms.<sup>8</sup> The language use clearly betrays the status of the text as a translation. An overt translation, as it were, points to its source text. Conversely, the choice and use of linguistic structures in "covert translations" is completely inconspicuous with regard to prevailing target language communicative preferences and textual norms. Covert translations are received in the target language culture as if they were original texts. In a covert translation, the cultural distance between the source and target language communities is completely erased. The translation text is target culture-specific.

In order to achieve this kind of target language and target culture 'originality' in translations, the translator employs what House calls a "cultural filter" (House 1981, 1997). The cultural filter is a theoretical construct. It stands for the conscious and unconscious decision-making processes in the mind of the translator, which lead to the choice of translation realizations which are 'covert', i.e. inconspicuous in the target language culture. "The 'cultural filter' is [...] the means with which the translator compensates for culture specificity." (House 2004a, emphasis in the original). In other words 'cultural filtering' is the replacement of the linguistic expressions of socio-cultural norms and language specific communicative conventions in the source text by linguistic structures that express the socio-cultural norms and language specific communicative

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<sup>8</sup> An overt translation may also employ paratextual commentary, which explicitly identifies the text as translated.

conventions of the target language community.<sup>9</sup> According to House, the notion of a cultural filter operative in the translation process is valid for all translation relations, irrespective of the languages involved. However, it is also her opinion that translation relations with English as the source text's language are a special case.

Depending on the text genres and the target language involved, the cultural filtering in the process of translation from English can appear to be suspended. For instance, this has been established for specific types of scientific text production and business communication in German (Böttger 2002, 2003; Baumgarten 2003, 2003a, in press; Baumgarten & Probst 2004; Baumgarten, House & Probst 2004). It was also found that specific linguistic elements that were apparently triggered in German translations by the presence of specific linguistic elements in the English source texts have become more frequently used in German original text production in the same genres (cf. Baumgarten 2003a, in press). In short, preferred translation realizations between English and German seem to be in the process of becoming preferred linguistic choice in German. This development and other effects on communicative conventions in German and other European languages are understood as a consequence of the recently acquired status and spread of the English language as a (global) *lingua franca*.<sup>10</sup> The crucial point to consider in this context is the cultural specificity of English.

Globalization and internationalization in many areas of public life, such as science, politics, popular culture, and economics together with the so-called information revolution in the second half of the 20<sup>th</sup> century are the processes that have propelled the English language into the status of a global *lingua franca*. For translation, this is what makes English a source language with a difference.

From the perspective of systemic-functional theory, a language encodes the socio-cultural make-up of the language community, i.e. the specificities and particularities of the speaker community (cf. Halliday 1979). But can this also be true of a *lingua franca*? At its extremes, the use of English as a *lingua franca* can have two effects on the cultural specificity of English: In one conceivable scenario, the worldwide spread of English would entail a qualitative change in language prestige for English: Some process of 'cultural bleaching' would separate the linguistic expressions from their culturally Anglo-American defined "content plane" (in Hjelmslev's terms) and result in cultural neutralism for English. In a second scenario, English as a *lingua franca* would be a means of communication across language boundaries as well as a means of consciously partaking in the extralinguistic image of 'Anglo-American culture' associated with the language. If the latter were true, Anglo-American cultural norms and their linguistic expression may be described as being on their way to cultural universalism. Which characterization of English is more true to the fact is impossible to distinguish in the present context, but we may hypothesize that both cultural neutralism as well as the cultural universalism of the source language will have

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<sup>9</sup> The concept and application of the "cultural filter" is very similar to Doherty's 'stylistic principles' which shape the translation text according to target-language norms. Doherty assumes that stylistic principles are surface expressions of language typological characteristics, and they therefore appear as rather fixed. In addition to language typological characteristics, House's cultural filter incorporates the prevailing preferences in language use with an explicit acknowledgement of their potential to change.

<sup>10</sup> See e.g. Ammon 1994; House 2003, 2003a, 2005; Phillipson 2003 and the contributions to Gardt & Hüppauf 2004 on the role and cross-linguistic influence of English as a *lingua franca*.

the same effect in translations. There will be less cultural filtering in the translation process,<sup>11</sup> either because English linguistic structures are no longer regarded as being foreign or because they are used as tokens of an overt affiliation with the Anglo-American culture and its ways of communicating. Source language-specific, i.e. English, linguistic structures (interferences, cf. above 2.1) are more readily accepted into the translation text; they are no longer consistently replaced by target language specific structures. As a consequence, translations will be less target language and target culture-specific. To summarize, the influence that English as a lingua franca exerts could mean that translations (and subsequently original text production in the target language) may be allowed to be less typical of the linguistic norms of the target language and the linguistically expressed socio-cultural norms of the target culture. The cultural distance between the source and the target language communities would then be more levelled out.

### 2.3 English and German: Dimensions of communicative differences as parameters of variation and change in language use

Depending on the kind of commonalities and contrasts between the languages involved, source text-induced changes in the target language can be evident on different levels of language structure. For the language pair English and German, there are two main lines of research concerned with language variation and change in language contact which differ sharply in their respective objects of investigation. I will briefly introduce both.

The traditional view of cross-linguistic influence between English and German focuses on English lexical interferences – the so-called 'anglicisms' – in German. This particular kind of influence of English on German has long been charted – however, without systematically including translations, in other words, situations of direct language contact.<sup>12</sup> Galinsky (1977), for example, reports on studies of interferences from British and American English since 1944. He reviews roughly 200 monographs, articles and dissertations on the language of newspaper and magazine journalism, sports commentary, and advertisements. The great majority of these are primarily concerned with lexical influence on German in the form of loan words and non-native patterns of word formation. Almost twenty-five years later, Glahn (2000) similarly focuses mainly on lexical phenomena and related phonetic and morphological questions in his investigation of an English influence on contemporary German language use in television. English influence on German syntax – 'loan syntax' (Betz 1965) – is investigated much more rarely (cf. Schelper 1995; Hoberg 1996). This is probably due to the fact that – for language typological reasons – syntactic interferences from English are more difficult to determine in German. Virtually all studies on an English influence on German exclusively analyze original text production in German. Consequently, it is

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<sup>11</sup> Although House argues the role of English as a lingua franca in a slightly different way, her hypothesis regarding the influence of English on translations in other languages is the same.

<sup>12</sup> Wandruszka (1977) investigates translations, but he also restricts his presentation to lexical phenomena.



difficult to relate an instance of a particular syntactic structure in German text production to a productive influence of English.

The present investigation deals with source texts and their translations only. In this way it is possible to give evidence of actual instances of an English influence on German texts, and to look for a causal relation between the communicative conditions present in the source texts and the observed linguistic structures in the translated texts. In a further step – which for several reasons goes beyond the scope of this study – the observed variation in the German translations would need to be verified in a corpus of comparable parallel (original) texts in German.<sup>13</sup>

House (for example 2002a) argues for a perspective on language change in language contact that reaches beyond the presence of lexical 'anglicisms' in German texts and spoken discourse. In her article on "Culture-specific elements in translation" (House 2004a), she understands source text-induced language change less in terms of isolated occurrences of individual linguistic items, but in terms of changes at the levels of pragmatics and discourse. Such changes would be discernible as shifts in the communicative preferences of the target language in the direction of the communicative preferences of the source language.

Converging evidence from a variety of English-German contrastive pragmatic studies investigating different spoken and written genres points to a general hypothetical pattern of differences in the communicative behavior of native speakers of English and of German (cf. for example Byrnes 1986; Clyne 1987, 1994; Doherty 1996, 2003; House 1982, 1982 a,b, 1989, 1996, 2004b; Kotthoff 1989). This pattern can be displayed along five dimensions of communicative preferences:

<i><b>ENGLISH</b></i>		<i><b>GERMAN</b></i>
<i>Indirectness</i>	↔	<i>Directness</i>
<i>Orientation towards other</i>	↔	<i>Orientation towards self</i>
<i>Orientation towards persons</i>	↔	<i>Orientation towards content</i>
<i>Implicitness</i>	↔	<i>Explicitness</i>
<i>Use of verbal routines</i>	↔	<i>Ad-hoc-formulation</i>

**Figure 2** Dimensions of communicative preferences between German and English (adapted from House 1996).

These dimensions are, of course, clines rather than clear-cut dichotomies with absolute values. They reflect tendencies in language use rather than categorical distinctions. One can say, however, that native speakers of German tend to realize linguistic features which are associated with the values on the right. Native speakers of English, in the same situations, prefer linguistic structures which are

<sup>13</sup> See Chapter 7 for the introduction of the corpus and the analytical method.

associated with the values on the left. In other words, German language use (spoken and written) can be said to be more direct, more explicit, more self-referenced, more content-oriented and less inclined to using verbal routines than comparable English texts. Still another way of categorizing the differences is that in German, a 'transactional' style focussing on the content of the message is frequently preferred, whereas in English, speakers tend to prefer an 'interactional', addressee-focused style.

If we follow this suggestion of an abstract level of dimensions of communicative preferences encoded in the language use, we must acknowledge that lexical and syntactic choice in translation does not only determine the semantic presentation of the information and its sequencing in sentences. What is more, these choices are closely bound up with the pragmatic and discourse semantic (textual) functions of language because they are the linguistic expression of the dimensions of communicative preferences. It follows that source text-induced changes in the conventionalized patterns of linguistic choice in translation texts are likely to entail a shift at the superordinate level of target culture-specific conventions of, for example, establishing speaker-hearer relations and the presentation of content. In this perspective, language variation in language contact through translations could eventually lead to a general assimilation of the target culture's communicative preferences to those of the source language community. An influence of English would then be evident in, for instance, an increase in verbal routines of the type ICH SEH DICH SPÄTER<sup>14</sup> in German translations and original text production. Also, there would be a more frequent use of linguistic means which express a more pronounced speaker orientation towards the addressee, linguistic means which encode the propositional content in a semantic-pragmatically more implicit and indirect way, and linguistic means which make reference to persons involved.

This kind of change implies that up to a certain point, the progression from, for example, a greater content-orientation towards an addressee-orientation can be made without the adoption of lexical or grammatical source language elements in the target language. Changes in the frequency of use of target-language linguistic means should suffice to trigger such a development as well. For instance, the continuous and consistent translation of the English first person singular I in the source text by its grammatical equivalent ICH in German would result in a marked change in the interpersonal relations expressed in the text, if the previously preferred translation realizations were different (for example lexical nominal phrases like DER VORSTANDSVORSITZENDE, the third person singular pronoun MAN, or the second person plural pronoun WIR). Thus, from the perspective of a link between language and culture, changes in the conventions of use on the levels of lexis, grammar and syntax need to be considered along with their reverberations on the higher semiotic level of culture.<sup>15</sup>

Before I turn to the final section of this chapter, I will give a brief summary of the linguistic aspects of language variation and change in language contact through translation discussed so far: Firstly, it was argued that in a diachronic perspective language change can occur on both the level of the language system

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<sup>14</sup> Incidentally, ICH SEH DICH SPÄTER is often argued to be a direct translation of (I'LL) SEE YOU LATER.

<sup>15</sup> See Chapter 5 for a detailed discussion.

and the surface level of stylistic norms. Changes on the level of stylistic norms are likely to be more frequent. Secondly, it was claimed that the special kind of cultural specificity which English appears to have acquired along with its increasing global spread may facilitate a comparatively productive influence on the target language in translations from English. Thirdly, cross-linguistic influence of English on German is rarely studied in translations, i.e. in situations of actual language contact. The great majority of investigations into the nature of the linguistic influence of the English language on German have focussed on lexical phenomena ('anglicisms') in German original text production. Fourthly, it was posited that an influence of English as source language on German translations has to be considered both on the level of the linguistic structures in which they surface in target language text production and on the higher level of communicative preferences where linguistic elements are seen as expressing culture-specific patterns of communicative behavior. Finally, I will turn to the question of a relation between language change through translations and the medium which distributes the translated texts.

## 2.4 The role of the film medium in language variation and change: General suggestions

It seems unlikely that the degree of language variation in translations and the process of change in language use that it triggers has equal measure in translations of, say, popular fiction books, audio books, magazine articles, scientific writing, or films. The translation type which is repeatedly singled out as having an actual influence on everyday spoken German is the translation of films and TV series from English into German. Popular as well as academic publications claim that 'unfaithful', i.e. non-equivalent, translations of English film productions into German are responsible for the unguarded influx of English lexical items and syntactic patterns into German (cf. for example Rabanus 1982; Zimmer 1988). Often, however, these are rather unsubstantiated presumptions, opinions and educated guesses illustrated by anecdotal evidence. Herbst (1994), in the most thorough investigation of English-German translations of TV series to date, supports this view with examples from a larger empirical basis. But since his study is not primarily concerned with the influence of English on German translations, he only mentions the issue in passing, and consequently his observations must remain inconclusive. Nevertheless, he claims that because of the ubiquity of films translated from English in Germany, these texts should be regarded as an integral part of the German language. And he hypothesizes that whatever differentiates the language spoken in film texts from authentic language use in German has to be counted as a potentially relevant factor in language change in German (Herbst 1994: 1). Focusing on English lexical and syntactic interferences in German translations, he states:

Angesichts der hohen Zahl von Anglizismen in Synchrontexten und angesichts des großen Anteils aus dem englischen synchronisierter Fernsehproduktionen im Programm der deutschen Fernsehanstalten, sowie der hohen Zuschauerbeteiligung, die viele dieser Programme erreichen, kann mit Sicherheit festgestellt werden, dass synchronisierte Filme ein

wesentlicher Faktor im Hinblick auf das Eindringen von Anglizismen in die deutsche Sprache darstellen." (Herbst 1994: 150)

Herbst claims that the presence of English source text structures in German translation texts are mainly due to oversight on the part of the translator. To a minor degree however, he suggests, translators might also be guided by a wish to recreate the 'atmosphere' of the original text and to inject the 'local color' of the Anglophone culture. Translators might even put into practice a conviction of the prestige of English (Herbst 1994: 144-150).<sup>16</sup> Atmospheric and prestigious choices are, obviously, parallel expressions for what I have described above as the suspension of cultural filtering vis-à-vis English as source text language (cf. section 2.2 above).

To sum up, it appears likely that English films influence the patterns of language use in their German translations. Likewise, it appears likely that German translations of American films have an effect on the audience's patterns of native language use.

This chapter provided the general theoretical background to the idea of language variation and language change in German via translational contact with English. In the context of this thesis, then, linguistic variation in translation texts and target language change through translations are understood to be *a priori* possible. Rather than directly affecting the language system, however, variation and change are much more likely to happen on the less stable and more flexible level of communicative and stylistic preferences, conventions and norms. It is at this level that the translators' choice between options of linguistic expression which are either target language- or source language-oriented determines the surface structure of the translated texts – rendering them either "covert", i.e. target culture-specific or "overt", i.e. source culture-specific. Film translations are further seen as the vital force in disseminating translational linguistic choice in the target language culture.

In the 20<sup>th</sup> century, film translations from English into German have acquired a special socio-cultural status in Germany, which can be thought of as a significant factor for source text-induced language variation in translation texts. In the following chapter, I will describe the role of film translations in Germany from a technical and a historical perspective.

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<sup>16</sup> The same point is made by Wandruska (1977) in his investigation of English interference phenomena in translations into continental European languages. In the same vein, Bordersen & Galinsky (1975) relate an English influence on the language use in German newspaper journalism with the writers' attempts to create an atmosphere of cultural closeness between Germany and the USA: "Durch die engen Beziehungen Westdeutschlands zur freien Welt stehen Berichte über Politik, Wirtschaft, Kultur usw. Amerikas und in geringerem Maße Englands heute mehr den je im Blickpunkt des Interesses" (p. 30/31).

### 3 Film texts and film translations

The successful introduction of sound in the USA caused the trade much anxiety about the possible loss of world markets. [...] In 1928 Louis B. Meyer [co-owner of Metro-Goldwyn-Meyer, one of the biggest film companies in the USA] declared he was not worried; he assumed that the popularity of American films would lead to the use of English as a universal language. (Thompson 1985: 158)

Film is a mass medium and translated films are the only kind of translations which are received by a mass audience. A film text has an unparalleled number of recipients because film has at the moment five channels of distribution: cinema, television, video, DVD and internet. Furthermore, in the case of cinema releases and television broadcasts, a large audience receives a particular film practically at the same time. That is to say, the content of a film can easily enter public discourse because it is likely that a large number of people share the information.

The translation of films has long been the prerequisite for the large-scale international distribution of films as commodities. This chapter describes the different types of translation in film and traces the main steps in the history of film export from the USA to Germany, including the special role which has been ascribed to American motion pictures in the context of 20<sup>th</sup> century German history. It concludes with the introduction of the concept of the "multimodality" of film texts, which is at once their defining characteristic and the central problem for their translation. It will be postulated that it is this multimodality which has to be the point of departure for – at least – any linguistic analysis of film texts.

A note on terminology: In the context of this study, the expression 'English language films' refers to film productions of the American – 'Hollywood' – film industry. Products of the American film industry can also include nominally (for example by country of production, topic or cast) 'British' motion pictures. Of course, a genuine British film industry has always existed, and there have been exports from the UK to the German market as well as from Hollywood to Germany. However, especially after 1945, the American and British film businesses have closely linked up with respect to co-productions and American financing of British film productions (cf. Guback 1969). No meaningful distinction relevant to the topic and scope of this investigation can reasonably be made between the two of them. Thus, for the purposes of the present study 'English language films' include American and British productions, and 'American' films, i.e. products of the American film industry, include British films. Exceptions to this will be made explicit.

#### 3.1 The translation of films

The American film industry has been dominating the world's film markets since the end of the World War I. The necessity to translate films from English into other languages was the consequence of the introduction of the sound film – 'talking picture' – around the year 1926 and the industry's fear to lose all but the English speaking markets. Contrary to the hopes of the American film industry – as expressed by Louis B. Meyer in the quotation above – untranslated English

language films did not sustain attractiveness with foreign audiences once the novelty of the sound film itself had worn off. At the end of the year 1929, contemporary observers noted that non-English speaking audiences displayed "signs of restlessness, when long periods of English dialogue occur[red]" (quoted in Segrave 1997: 77). In the same year, an American film producer described the general trend in the receiving cultures as a quick development from initial appraisal of the new technology towards open opposition against the concurrent arrival of a foreign language:

While it is true that right now many of these countries are tolerating pictures with English dialogue, this is due to the scarcity of suitable sound pictures in their native language [...]. The novelty is rapidly wearing off, however, and already in many countries the agitation is growing keener against the invasion of the English language. (quoted in Thompson 1985: 159)

Immediately, methods for overcoming the language barriers were sought. In essence, the ones that were developed between the late 1920s and the early 1930s are those that are still most widely used today.

In technical terms, the translation of films is called language transfer. At present, two main methods of language transfer are in use: subtitling and revoicing. Revoicing methods comprise: commentary, narration, voice-over, and lip-sync dubbing (hereafter called dubbing). For popular fictional feature films – the type investigated here – the usual choices are subtitling and dubbing.<sup>17</sup> The *European Institute for the Media* offers the following prescriptive description of dubbing and subtitling. (Note that the preservation of semantic or pragmatic meaning is not explicitly mentioned.) The goal of dubbing and subtitling is

to carry out a fine balancing act between the creation of a new set of messages which are easily comprehensible to the viewer and with which he is comfortable, and, conversely, the prevention of the same set of messages from distracting and therefore misleading the viewer whether aurally, visually or in terms of content or linguistic style. (Luyken 1991: 39)

I will summarize the technical definitions of both subtitling and dubbing given in Luyken (1991) in turn, and then focus on the differences between subtitling and dubbing relevant for the investigation of language variation in film translations and the notion of language change through film translations.

Subtitles are mostly condensed translations of original dialogue or onscreen text which appear as lines of text usually positioned towards the foot of the screen. The subtitles appear and disappear in time with the corresponding portion of original dialogue or onscreen text. Subtitles can be reduced, containing only key phrases of the original dialogue or text.

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<sup>17</sup> The methods of voice-over, narration and commentary are primarily used for non-fictional, documentary films. They differ from dubbing in their abandonment of the constraints of lip synchrony.

Dubbing is the replacement of the original speech by a voice track<sup>18</sup> which is a faithful translation of the original speech and which attempts to reproduce the timing, phrasing and lip movements of the original. The new voice-track is then mixed with the original music and the sound effects track. The aim is to create the illusion that the onscreen characters are speaking in the target language, i.e. in the language of the audience. The visual appearance of the film remains unaltered from the original, but it is usually edited so as to accommodate optimum lip synchronization.

The present investigation of film translations deals exclusively with dubbing. In contrast to subtitling, only translation by dubbing appears to have the potential to trigger language change in the target language. The reasons for this are the following: Firstly, only dubbing aims at creating the illusion that the film characters are actually speaking the native language of the audience. This seems to be a prerequisite for the possible subsequent appropriation and imitation of the styles of speaking by the members of the audience themselves (cf. Chapter 6 for an explanation of the mode of cinematic reception). Moreover, the illusion of the dialogue's originality may lend linguistic authenticity to the utterances, which may in turn support the process of adaptation by the individual viewer. Secondly, compared to subtitling, the choice of linguistic means in dubbing is shaped by a stronger pressure to fit the co-present visual information. The time constraint and the related constraint of lip synchrony determine the information structure of the target language utterances because the speaker must have uttered his/her sentences before his/her lips have visibly stopped moving or another character's lips visibly have started moving. Under these circumstances, a linear imitation of the English source text's phrase and sentence structures in the German target text may override conventionalized German ways of information patterning. Thirdly, unlike subtitling, dubbing leaves the semiotic structure of the film intact. That is, dubbing does not superimpose an extra layer of information on the finished film, as subtitling does by adding writing to the images. The visual presence of subtitles activates a third mode of reception in the viewer – reading in addition to hearing and seeing.<sup>19</sup> Fourthly, Germany has a history of over 70 years in the reception of dubbed films. From the introduction of sound onwards, Germany has been one of the so-called "dubbing countries" (Luyken 1991: 32-34), i.e. a market where virtually all foreign-language motion pictures intended for mainstream consumption are translated by dubbing.<sup>20</sup> That means, at present at least three generations of German audiences have been continually exposed to the language use and linguistic choice in translated films.

The initial reason for the American film industry to choose dubbing as the method of film translation for the German market was an economic one. In the German film market of the late 1920s, American films had to compete with domestic productions. The fear of the US industry was that the German audience

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<sup>18</sup> A film consists of three separate parts of raw material: the film track with the photographic images, the voice track – a recording of the spoken discourse – and the so-called international track, containing music, sound effects (including background noise).

<sup>19</sup> One might go further and argue that compared to hearing and seeing, reading is a very different mode of reception. Among other things, unlike hearing and seeing, reading is a learned competence.

<sup>20</sup> In the European context, e.g. the Netherlands are an example of a "subtitling country" (Luyken 1991: 33).

would reject subtitled versions of American films in favor of original German films with original German dialogue. Therefore, the more unobtrusive dubbing was chosen for translation. By 1933, dubbing seems to have been firmly established with German audiences, as a contemporary observer describes:

Audiences have gotten used to German conversation dubbed to American lip movements. [...] there is no doubt that it has come to stay and that the average public accepts it without worrying about who owns the voice that comes out of the loudspeaker. (quoted in Thompson 1985:163)

For popular motion pictures exported by the American film industry to the German market, this decision for dubbing as the prime method of film translation has never again been seriously questioned. Economic reasons and the political history of the bilateral relation between the USA and Germany from the 1930s onward must be considered as having acted as effective constraints which helped to keep up dubbing and establish it as common practice. In short, the decision in favor of dubbing was made very early in the 'cinematic' relation between the USA and Germany. The following section gives a summary of the history of film export to Germany and the cultural meanings which have been attached to it.

### 3.2 A short history of American film exports to Germany

By 1907, American film trade with Europe was firmly established. The silent movies of the time rather easily circumvented language barriers. All that was to do by way of adaptation to non-English speaking audiences was to replace the English intertitles by ones in the language of the importing country (Vasey 1997).

From its inception, American film export was accompanied by differing public, economic and political discourses in America and in Germany. In the USA, American exporters in other branches of business were the first to become aware of the films'

power as an instrument of marketing and propaganda. [...] It was noticed that American films brought in their train American ideas and a desire to imitate their manners and fashions (Izod 1988: 63).

In other words, American films furthered the foreign demand for American consumer goods. In Germany, a different discourse dominated. Political and cultural elites put forth ethical concerns and questioned the societal value of the film medium in general. There was open concern about the adverse psychological, emotional and moral effects of movies on viewers (Fehrenbach 1995).<sup>21</sup> Cinema as such was considered tasteless and "trashy", and its socioeconomic background of blue collar entertainment as well as the foreign origin of most of the productions on show added to the discomfort of the educated middle class in Germany.

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<sup>21</sup> A similar discourse existed also in the USA (cf. e.g. Münsterberg 1916).



Despite this opposition, at the time of the outbreak of World War I, film had become a mass medium, drawing audiences from the whole spectrum of German society. Immediately after the end of the war, Hollywood film imports returned to Germany, and in the absence of a vital competition from the war-torn German film industry, the American industry seized the opportunity to flood the market with its films (cf. Saunders 1994). From that time onward, imports from the USA have always accounted for approximately 80 percent of the movie releases in Germany.

Two reactions to the film imports from America can be distinguished in the 1920s and 1930s. Throughout the 1920s, American films were primarily perceived as business competition and a threat to the German film industry. The hostility toward American productions resulted in unsuccessful attempts to protect the domestic market by import quotas. The atmosphere changed in the 1930s when the economic protectionism was joined by the rise of strong nationalism in Germany, bringing in its train public debates about the function of the cinema in the cultural system (de Grazia 1989).

The situation in Germany has to be seen in relation to the concurrent development in the USA. In the 1920s, the American film business developed into one of the biggest industries of the country. Just as in Germany, the movies had shed their association with low-brow and lower-class entertainment and were able to draw audiences from all levels of American society. But unlike Germany, around 1930, there was what has been called "a general movie-going public" (Belton 1994) in the USA: An average number of 83 million people went to see a film every week. It is in this context that we have to assess, on the one hand, the role which the American film effectively had by its power to reach an audience of unparalleled size and, on the other hand, the cultural and political role which was ascribed to the American film because of this – at that time – matchless communicative potential. According to one investigation of the interrelations of American international economic expansion and American cultural diplomacy, economic and political leaders of the time were well aware that

films were the USA's most effective way of reaching foreign audiences. Their international importance in shaping popular perceptions greatly surpassed that of radio or press. (Rosenberg 1982: 209)

With the start of the World War II, the US State Department tried to channel this potential into effective pro-American, anti-Axis powers propaganda. The result was a close cooperation between Hollywood and the State Department's Office of War Information (OWI). In very general terms, the OWI censored the films that the Hollywood film industry provided, i.e. it adapted the films to the cultural preferences of the foreign target audiences by re-editing them. The films were then shipped to Europe – right behind the US armies – to secure and re-establish old European markets as soon as the individual countries were liberated.<sup>22</sup> For Germany, the American film industry and the OWI additionally drafted the so-called "Film Program for Germany" (cf. Pütz 1983). The program, designed in 1943, consisted of about thirty films – among them gangster films, adaptations of

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<sup>22</sup> The same practice was applied for Asian markets.

novels, comedies and biographic films like, for example, *The Maltese Falcon*, *Pride and Prejudice*, *Gold Rush* and *Young Tom Edison*. Screening started shortly after Germany's capitulation in the American-occupied zone of Germany. The films were intended as a contribution to the so-called "re-education" of the German population (Pronay & Wilson 1985). It was hoped that the films would assist "in conveying to the people of the occupied areas an understanding of American life and democratic institutions" (Guback 1969: 128/129). In other words, because the films were products of a democratic society, it was expected they would communicate 'democracy' and thus would instil American-style democratic values in the German audiences. But the films were untranslated and possibly this was one of the reasons why their screenings appeared as too thinly veiled propaganda to attract much public interest in the unsettled social situation of the immediate post-war period. The program had no success with the German public and was soon abandoned (Joseph 1947).

In the course of the year 1945, the national and cultural redefinition of Germany became the prime issue next to the political and economic restructuring. With the fresh memory of the exploitation of mass media, including the film industry, in Nazi Germany, all of the allied powers recognized the centrality of the film medium in facilitating the democratization process in Germany (Fehrenbach 1995). The matter was given to private hands. In 1946 the American Motion Picture Export Association (MPEA) was founded. Up to the present, this organization – also-called the USA's "Little State Department" (Guback 1969: 90) – administers the international trade relations of the American film industry. After World War II, it negotiated the terms of the resumption and the future of the American film export to Germany, first with the allied administration and after 1948 with the German administration of the Federal Republic of Germany. In order to protect the native German entertainment industry, import regulations for American films were considered, but never thoroughly implemented because the American film industry successfully resisted any impediment to their access to the German market. In 1953, the president of the MPEA argued for a major market share in Germany on ideological grounds:

Pictures give an idea of America which it is difficult to portray in any other way, and the reason, the main reason, we think, is because our pictures are not obvious propaganda. They are completely free pictures and they reflect the freedom under which they are made and the freedom under which they are shown. (quoted in Guback 1969: 126)

The outcome of such reasoning was unrestricted film export from the USA to Germany and the effective dominance of the German film market by American productions with respect to the annual number of film releases. The early decision in favor of dubbing also proved to be the ideal precondition for adapting the film contents – the spoken discourse – according to political aims.<sup>23</sup> Initially, however, considering their market share, the American films had no equivalent commercial success. Until the 1970s German audiences preferred German films. But from then on the mainstream mass audience favored American films. As will be

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<sup>23</sup> In many cases, films were also re-edited for distribution in Germany. E.g. the portrayals of Germans as Nazis have generally been cut from the versions intended for the German market (cf. Garncarz 1992). This is still a standard procedure today.

explained in the next section, this change in film patronage is in fact a shift in audience preferences of culture-specific film styles.

### 3.3 Changing preferences in film styles in Germany

The shift in audience numbers for German and American films in the second half of the 20<sup>th</sup> century indicates a shift in German audience preferences towards the filmic style of American motion pictures. From 1945 up to the 1970s, the great majority of the film releases in Germany were American productions, but it were German films which regularly lead the annual top ten lists of the commercially most successful motion pictures. After 1972, the situation reversed. American films outstripped German films in popularity and commercial success. Through the 1980s, the most popular German film of the year on average still could claim approximately two thirds of the viewer numbers for the most popular American film of the same year. This ratio changed in the 1990s. From then on the audience numbers for the most popular American film on average always doubled the figure for the audience numbers for the most popular German film.<sup>24</sup>

In an attempt to explain the changes in audience preferences, Garncarz (1994) suggests that the culture-specific filmic preferences and expectation norms of the German mainstream audience have developed into ones only met by American films:

The dynamics of the process of film selection have [...] remained unchanged. Films of any country which receive the greatest patronage from the public will define the conventions against which all competing films are judged. What has changed in Germany is the nationality of the film industry which set the standards. Clearly, the German film industry defined film convention until the beginning of the 1970s, after which the American film industry took over. (Garncarz 1994: 110, my emphasis)

The development towards a preference for American films coincides with similar trends in popular music and the concurrently growing social significance of youth culture (cf. Zinnecker 1987).

The early 1970s also suggest a generation change in the consumption of popular culture goods in German society. Those who were of movie-going age – that is, roughly between 15 and 25 years of age – in the late 1940s had reached midlife in the 1970s and probably had oriented themselves towards different spare time occupations. Also, the rapid spread of television induced primarily the elder generation to stay at home for leisure time entertainment. The film patrons of the seventies – again those between the ages of 15 and 25 – had grown up relatively dissociated from the context of the immediate post-war period, in times of relative political and economic stability and affluence and with all modern mass media in operation. Moreover, as generation changes are also processes of identity forming through difference, the younger generation generally actively rejects the habits, conventions and preferences of the elder one. From this perspective, a change in film preferences appears as a plausible consequence. Thus, one might assume that

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<sup>24</sup> Source: [http://www.insidekino.com/DBO.htm#TOP 100 DEUTSCHLAND](http://www.insidekino.com/DBO.htm#TOP_100_DEUTSCHLAND) [28.04.2004]

a change in the preferences of the 'nationality' of films occurs not because the same audience suddenly decided in favor of American films, but rather that the 1970s drew a new and differently socialized generation of mainstream audience into the cinema – one which had 'American' preferences from the outset.

For the German film industry, the shift in audience preferences had two effects: First, German films could only be commercially successful when they were vehicles for German TV stars (for example *Otto – Der Film*, 1985). But more interesting in this context is the second effect: German films tried to compete by copying non-native, American genre traditions – as, for example, in the case of the action film (*Das Boot*, 1981). As an explanation Garnarcz (1994) suggests that between the 1920s and 1970s German and American films basically shared the same stylistic and narrative conventions, and given the choice, the contemporary mainstream audience preferred the domestic product. The post-war generations of movie goers, however, favored the stylistic, narrative and aesthetic conventions of American films. The most popular films – action films such as *Jaws* (1976), science fiction films like *E.T.* (1983) and romantic comedies (*Pretty Woman*, 1989) displayed film standards and conventions German films did not offer. As a consequence, the public preferred American films.

In summary, the history of American film in Germany suggests that mass-level audience preferences are in favor of German-dubbed films; they have become the norm on the German film market to the extent that in public discourse, German-dubbed films are perceived as 'films', while original German language films are usually labelled 'German films'. What seems to be the decisive factor for the popular success of a film with the German audience is its correspondence with the stylistic, aesthetic and narrative preferences and expectation norms of the viewers. For the last three decades these have been determined by the conventions found in American films.

To conclude, there is scholarly consensus that American films first "domesticated American culture in Europe" (Saunders 1994: 1), and then on two occasions updated in particular German culture: In the 1920s, American movies introduced Germany to 'modernity' and after 1945, licensed by a combination of economic and cultural-political goals agreed on by German and American political authorities, American films reintroduced American consumer culture into German society (cf. Kaes 1985; Fehrenbach 1995). This view seems to be supported by the history of the interrelationship between English-German film translations, the practice of importing American films into Germany and changing audience preferences in film styles.

The development towards a distinct audience preference for German-dubbed American films also bears strong resemblance to the mode of target language change through translation processes discussed in Chapter 2. Regarding the history of American films in Germany, we seem to witness an evolution of target-culture aesthetic preferences which appears to mirror Koller's concept of 'norm innovations'. The shift in audience preferences could also be described in terms of a change along the dimensions of culture-specific preferences in communicative conventions in visual media, akin to those postulated for texts and spoken discourse by House (cf. section 2.3 above).

The question, then, would be whether the language spoken in German-dubbed films is actually the one truly native German textual element in the film text, or whether the target-culture changes in stylistic and narrative preferences also affect

the translator's linguistic choices in the realization of the verbal part of the film in any tangible way. As Herbst (1994) suggests, translators might try to make the translation 'sound English' in order to achieve an 'atmospheric' mapping with the visual information of the film which is, of course, iconic of Anglo-American culture. Such effects on the language of the film highlight, once again, the significance of the interrelation between the verbal and the visual semiotic components of a film text. Texts which feature this kind of semiotic interrelation are called multimodal texts.

### 3.4 Multimodality

The introduction of sound to film was a business decision. At the time, sound was primarily thought to add a technological edge to the medium<sup>25</sup>, but what was, in fact, also added was one more semiotic dimension. From then on, film has had five ways to communicate meaning to the viewer: the photographic image, graphics (onscreen writing), speech, sound effects (background noise), and music. Essentially, these are five different layers of meaning. Their individual combination establishes the meaning of the individual film text. Kress & van Leeuwen (1996) call this combination of meanings from different semiotic systems "multimodality". Multimodal texts are "texts whose meanings are realized through more than one semiotic code" (Kress & van Leeuwen 1996: 183).

The central decision for the analysis of multimodal texts is whether to take a separate or an integrated approach to the semiotic modes involved. A separate approach presupposes that the meaning of the whole is the sum of the meaning of its different semiotic parts; conversely, the integrated approach starts from the assumption that the parts interact and affect each other in the formation of the whole. In present context, film texts are understood as integrated texts in the latter sense. I distinguish two main types of semiotic codes along the channels of physical perception: the verbal and the visual. Somewhat simplified for the present purposes, the sound-image correlation in a film text encompasses verbal reference to visual objects. This correlation is understood to contribute to and to shape the strategies of establishing meaning in a film text.

It follows that the prerequisite for the investigation of film texts is an analytical model and a mode of analysis which provides access to the different semiotic codes in interaction in the film text in a principled way. The model has to facilitate the functional analysis of every single instance of the combination of verbal and visual elements and its contribution to the meaning of the text as a whole. As yet, such a model does not exist. The present thesis thus has two goals: First, to contribute to the question of source text-induced language variation in the target language through the analysis of English-German translations of popular films, and secondly, to develop an analytical tool for this investigation. The model

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<sup>25</sup> It must be noted that the film business from its beginnings has relied on two characteristics of the medium to make people come and see a film: First, the power of the film to surprise and thrill the audience by offering uncommon visual perspectives on things, places, events and people, and secondly, the ability to present a 'perfect', self-contained illusion of reality on screen. Virtually all of the technical innovations in the history of film (sound, color, widescreen technology, 3-D, special effects, computer animation) have been serving to foster these strengths, in order to keep the audience interested (cf. Belton 1994).

of analysis has to provide a theoretically and methodologically sound way to pierce the central characteristic of film texts – namely, their multimodality.

This chapter provided an overview of the cinematic relationship between the USA and Germany in the context of 20<sup>th</sup> century socio-cultural and political history – including the development of dubbing as a method of film translation and the shift in German mainstream audience preferences towards the aesthetic and narrative styles of American films. The aim was to show that American films and English-German film translations have become an integral part of German popular culture and that this presence has had tangible effects on recipients' preferences regarding textual styles. This is to indicate that German-dubbed American films do influence the target language recipients so that an adoption of the German-dubbed communicative styles observed onscreen by the audience members – the prerequisite for language variation and change through translation – does not appear unlikely. Finally, the concept of multimodality was introduced. As the defining characteristic of film texts, it serves as the starting point for the development of the model of analysis of language use in film which will then be applied in the diachronic investigation of English-German film translations.

There are a number of studies which investigate film translation. Very few of these deal with film translations on a linguistic basis, even though film translation is all about exchanging linguistic structures. Moreover, none of them seriously considers the multimodality of the film texts and investigates the interrelation between the different semiotic modes involved, although exchanging linguistic structures is, in effect, always also a reordering of the relation between the visual and verbal layers of meaning in the film text.

The next chapter discusses the state-of-the-art in the three areas of research principally relevant for the purposes of this thesis: translation studies, approaches to visual analysis and film studies, and English-German contrastive linguistics and language typology.

## 4 The state-of-the-art in translation studies, visual analysis, film studies and contrastive linguistics

This chapter gives an overview of the research in the fields of translation studies, visual analysis, film studies and linguistics relevant to the investigation of film texts and their translations.

### 4.1 Translation studies

Inside translation studies, we can roughly distinguish two branches of research: One is exclusively concerned with the practice and the products of the translation of films, and the other – the 'traditional' translation studies – recognizes and addresses film translation as one (particularly troublesome) type of translation among others, but without any further special focus on it. I will present both perspectives on film translation in turn. Note that I will only make reference to the literature on film translation by dubbing. Chaume (2003) gives an overview of research on subtitling; Gambier (2003) addresses other types of "screen translation".

#### 4.1.1 Film translation

The investigation of translation in film has lately been localized inside a newly evolved, distinct area of research within translation studies called "audiovisual translation" (Chaume 2003) or "(multi)media translation" (Gambier & Gottlieb 2001). The field of audio-visual/multimedia translation encompasses the study of all kinds of language transfer in visual media. Researchers who investigate film translations, however, may or may not explicitly affiliate themselves with this area.

The number of publications on film translation in Europe is not very large, and of course, it is even smaller for particular language pairs and particular translation directions. Also, mutual recognition of research seems to follow rather precisely the language boundaries of the languages involved. Nevertheless, practice, theory and methods of the translation of films have been regularly addressed since the early 1960s (cf. for example Rowe 1960; Cary 1960; Caille 1960; Schulz 1973; Müller-Schwefe 1983). These contributions are typically short assessments of the state-of-the-art in film translation. Furthermore, being non-empirical, for the most part pre-theoretical and only relying on anecdotal evidence from translations and their source texts – they regularly also include programmatic pleas for a scientific analysis of translation in film.

The comparatively scant interest in film translation has led to the situation that there is to date hardly a scholarly discourse on film translation which is based on the results of scientific research. It seems almost as if over the past decades every inquiry, whether analytical, theoretical or methodological, as it were, felt it necessary to start all over again – from scratch – without taking much notice or making use of previous work. What Pym (2001) has described for multimedia translation in general, namely a growing number of "isolated descriptions, incurring the risk of intellectual fragmentation" (p. 275), also seems to hold for the more narrow field of film translation.

Studies on film translation can be roughly distinguished along the line of whether they are oriented towards the translational practice (cf. for example the majority of the contributions to Gambier & Gottlieb 2001) or toward the study of the translated text itself. The translation texts are studied from a variety of perspectives, including linguistic, discursive, cinematographic, and cultural ones. The methods employed are typically qualitative content analysis, linguistic analysis and visual analysis, or combinations of these with additional input from media studies or sociology (for example Hesse-Quack 1969; Delabastita 1989, 1990; Herbst 1994, 1997; Remael 2001). Another distinction can be made between work focusing on theoretical and methodological aspects and actual analyses on the one hand (for example Herbst 1994, 1997), and the presentation and interpretation of the results of the analyses in the light of a superordinate question of, for example, language contact, culture contact, language acquisition, modes of language transfer, or translation quality assessment, on the other (for example Hesse-Quack 1969).

The theoretical-methodological suggestions for approaching translation practice in film and the analysis of film translations more often than not appear as rather vague in design. Accordingly, these studies remain somewhat implicit concerning the actual application in analysis. An exception is Delabastita (1989) who explicitly gives an "organized inventory of questions and hypothesis that should direct any future research" (p. 194). But in spite of this, neither the theoretical premise for the meaningful integration of the source and target texts' cultural contexts into the analysis as proposed by Delabastita (1989), nor the necessity to make an integrated approach to the combination of semiotic systems in the analysis of film texts as stipulated by Remael (2001) are ever actually presented at work in the analysis of dubbed films. Only very rarely, already existent theoretical and methodological work seems to be taken up in empirical investigations by other scholars (for example Lorenzo et al. 2003).

A number of studies are concerned with film translations from English into German. In what follows, the major empirical studies dealing with film translation from English into German and the analysis of translation texts are summarized:

Hesse-Quack (*Der Übertragungsprozess bei der Synchronisation von Filmen*, 1969) takes a sociological-empirical approach to film translation. He starts from the assumption that a culture changes through contact with other cultures. One of the most important interfaces for the contact between cultures are internationally distributed products of the mass media, and especially films, since a great part of the cross-culturally distributed products of the mass-media are translated films. Following Mead (1932, 1934) and Malinowski (1935), Hesse-Quack presumes that the contents of mass media are (re-)presentations of the culture of their origin – "in ihnen objektiviert sich die Kultur" (Hesse-Quack 1967: 35). In his view, the process of translation helps to encode the culture-specific meaningful elements – or, 'significant symbols' – of the source text culture as elements which can be recognized by the target language community and which are 'significant' in the target language culture.<sup>26</sup>

His study is based on the qualitative content analysis of two data sets: English and French original film scripts and their German translations and English and French original film titles and their German versions. From the linguistic changes

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<sup>26</sup> "Die Synchronisation kann das fremde, unsignifikante Symbol in ein für die Gesellschaft, der sie dient wieder signifikantes Symbol transformieren" (Hesse-Quack 1969: 51).



made in the translation process as well as from shifts in the film's story-line through re-editing for the German market, he deduces two main lines along which the German translations differ from their source texts. In the process of translation, he claims, linguistic elements and narrative structures of the source texts which express 'individuality', 'diversity' and 'complexity' are changed to comply with target cultural standards of linguistic choice and narrativity and also with the target culture's stereotypes of the source text culture. In addition, the expression of social criticism in the source texts tends to be left out in the translation texts while they are at the same time padded up with additional linguistic elements which express emotional involvement and affect.<sup>27</sup> These findings are summarized in Figure 3 below.

<i>Veränderungslinien</i>	
Originalfassung	Synchronfassung
1) Symbolmilieu der "Original-gesellschaft"	Symbolmilieu der Synchron-Gesellschaft
2) Kulturspezifische Anspielung	—————▶ Verdeutlichung
A. Individualisierung (Charaktere, Situationen, sprachliche Wendungen)	—————▶ Standardisierung (Charaktere, Situationen, sprachliche Wendungen)
B. sachliche Darstellung	—————▶ Emotionalisierung, Romantisierung
C. Differenzierung (Charaktere, Situationen, sprachliche Wendungen)	—————▶ Stereotypisierung (Charaktere, Situationen, sprachliche Wendungen)
D. Sozialkritik	—————▶ Neutralisierung

**Figure 3** Changes in film translation (reproduced from Hesse-Quack (1969: 168)). 2) 'explicitation' of cultural specificity ("Verdeutlichung") is the consequence of the differences between the 'symbolic milieus' ("Symbolmilieus") of the source and the target language cultures in 1). A. to D. are the tangible effects of 1) and 2) in the translated texts.

<sup>27</sup> "In den unterschiedlichen soziokulturellen Symbolmilieus der 'Originalgesellschaft' und der 'Synchrongesellschaft' liegt vorrangig der Grund für die aufgefundenen Veränderungen. Die qualitative Richtung des Veränderungsprozesses ist als eine von den Trägern des Prozesses intendierte Anpassung des Originaltextes an das Symbolmilieu der aufnehmenden Gesellschaft anzunehmen. Der hierdurch ausgelöste Vorgang wie auch die Charakteristika der Transposition generell bewirken einen Verlauf des Prozesses, der von einer in den Originalen vorfindbaren höhergradigen Individualisierung zu einer gewissen Standardisierung geht. Mehr sachliche Darstellungen erfahren eine Transposition in Richtung auf Emotionalisierung und Romantisierung. Fast immer wird Sozialkritik neutralisiert. In den Originalen gebotene Differenzierung von Charakteren und Situationen durch sprachliche Wendungen geht über in Stereotypisierung" (Hesse-Quack 1969: 196-197).

Toepser-Ziegert (*Theorie und Praxis der Filmsynchronisation*, 1978) carries out qualitative content analyses of 15 episodes of the British-American TV series *The Persuaders* and its German-dubbed version *Die Zwei*. She comes to the conclusion that the linguistic changes entailed by the process of translation result in radically different characterizations of the protagonists of the series.<sup>28</sup> The language use in the translations is characterized by a greater degree of sexual explicitness and verbal violence as well as an unveiled pro-American attitude, which is not found in the source texts. Toepser-Ziegert interprets these findings as reflections of the expectation norms and desires of the contemporary audience in the German target culture. However, her claim remains largely unsubstantiated because she neither presents concurring evidence from other disciplines elucidating audience preferences prevalent in the 1970s in Germany, nor suggests a theoretically-based connection between the language use in the translations and the social and cultural context of the recipients in the target culture, which might strengthen her argument.

As the title *Die Übertragung fremdsprachigen Filmmaterials in Deutsche. Eine Untersuchung zu sprachlichen und außersprachlichen Einflussfaktoren, Rahmenbedingungen, Möglichkeiten und Grenzen* suggests Müller (1982) attempts a complete ("lückenlos") documentation of language transfer in film. He addresses the economic conditions of film translation, the technical aspects of dubbing, the process of dubbing as well as special cases of translation in film such as songs, writing in film, humor, social and regional varieties and non-verbal communication. Müller's approach is mainly descriptive but he does introduce the concept of "gatekeeping" to the discourse on film translation, which is useful for assessing the reasons for and the sources and consequences of changes in meaning between the source text and its translation.

The term "gatekeeping" originally stems from social psychology (Lewin 1947). It describes a particular phenomenon of information filtering with the goal of executing social control. "Gatekeeping" refers to the alteration of a message on its way from the sender to the receiver: In the process of communication, a message is seen as passing through successive gates between the original sender and the ultimate receiver. At each gate, there is one person – a member of the culture, possibly a representative of an institution – who may alter the message by adding or eliminating information. The idea of "gatekeeping" is that messages are transformed by the particular interests and knowledge of the person at the gate. In the process of film translation, the film text likewise can be seen as passing through several gates. Each of the gates is personified by members of the institutions involved in the process of releasing a German-translated film on the German market – for example the translator, the dubbing director, the dubbing actor and the dubbing editor. Each of them successively has the opportunity to vary the translation before it reaches the ultimate receiver – i.e. the viewer.

Whitman-Linsen's study *Through the Dubbing Glass* (1992) provides a comparative study of the work of dubbing translators, editors, directors and

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<sup>28</sup> The German translation of this TV series is notorious for its almost complete abandonment of semantic-pragmatic equivalence in the dialogues. It is justified to say, that the single remaining invariant of the translation text is the visual information. As Luyken (1991), Herbst (1997) and Pisek (1994) point out, this kind of very free translation is not the standard for German TV releases. For a possible categorization of the German translation of *The Persuaders* compare House's (1977/1981) concept of "version" vs. "translation".

actors – i.e. the 'gatekeepers', even though she does not use the term – in Germany, France and Spain. She investigates the German, French and Spanish translations of one American motion picture (*Crimes and Misdemeanors*, 1989). Next to the description of the translational process, she also provides cross-linguistic analyses of selected linguistic features of the translated texts. In an attempt to highlight frequent translation "errors", she makes comparative quality assessments of a range of lexical, syntactic and pragmatic phenomena and changes in register that occur in her data.

The goal of the analyses is to make an empirically substantiated call for an improvement of translation practice. As a consequence, her perspective on film translations is determined by translation problems and errors, considered on the basis of the comparison of sentences or short successions of turns. No analysis of larger coherent textual units, such as scenes or other self-contained sequences is offered. Moreover, despite the fact that microstructural shifts may amount to significant shifts on the macrostructural level, the part-whole relation between short text extracts and their relevance for the meaning of the textual whole is not considered. The analyses are not guided by a theory of translation and no method of analysis applicable to other kinds of investigation is provided.

Pisek's study *Die große Illusion: Probleme und Möglichkeiten der Filmsynchronisation* (1994) investigates the translations of three American motion pictures into German.<sup>29</sup> His claim is that the different types of synchrony postulated for film translation (see 4.1.2 below) and especially the centrality of lip synchrony, as put forth by Fodor (1976), pose no real constraint for translation: Contrary to popular perception, film translations can violate to a certain extent and under certain circumstances the constraint of lip synchrony. Pisek emphasizes that film audiences are generally too much in the mood to be entertained than to be critical of occasional violations of lip synchrony. In addition, he argues that the tradition of film translation by dubbing has conditioned German audiences to translated films. Consequently, they are less attentive to visual and phonetic incongruence.

The question whether or not lip synchrony acts as a viable constraint on the film translation is taken up and theoretically and empirically substantiated in Herbst's 1994 study *Linguistische Aspekte der Synchronisation von Fernsehserien: Phonetik, Textlinguistik, Übersetzungstheorie*. Like Pisek, he comes to the conclusion that the role of lip synchrony for translation has been overestimated. On the whole, Herbst (1994) offers the most comprehensive linguistic account of translation in film to date. He focuses on the linguistic and translational aspects of dubbing and provides a detailed characterization of the lexis, syntax and textual structure of film texts translated from English into German. He is also concerned with the question of translational equivalence between the source and the translation texts, including the equivalence of paralinguistic phenomena and the transposition of social and regional varieties. Drawing on Koller's (1979/2001) concept of 'frames of reference' ("Bezugsrahmen") determining the types of translation equivalence between source and translation text, he introduces three 'levels of equivalence' ("Äquivalenzebenen") as the basic elements of a comprehensive theory of dubbing: equivalence of semantic and pragmatic meaning, equivalence of text

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<sup>29</sup> *Annie Hall* (1977), *Manhattan* (1979), *Hannah and Her Sisters* (1986).

function<sup>30</sup> and equivalence of different types synchrony (lip synchrony, synchrony of gestures, synchrony between verbal reference and visual referent).

In addition, Herbst proposes a basic version of a theory of dubbing ("Grundelemente einer Theorie der Synchronisation") which is intended to be a contribution to translation theory in general because he finds that "insgesamt ist festzustellen, dass die Synchronisation in der Translationstheorie eher vernachlässigt wird" (p. 220). Finally, he furthermore suggests a pragmatic translation strategy for dubbing.<sup>31</sup>

Though Herbst mentions 'source text comprehension' ("grundlegendes Textverständnis des Ausgangstextes", p. 249) as the initial step in the process of translation, the study falls short of providing a mode of analysis that actually relates the demanded knowledge of the text type, the text's socio-cultural contexts, its strategies of plot advancement and realization of character features to the linguistic means by which they are expressed in each single text exemplar. Thus, he relegates a large part of what makes up the meaning of the text to some place outside the text. By doing so, he neglects the fact that source and translation texts are linguistically related to their contexts of production, reception and to their text type, and that they realize plot, characters and other narrative features by linguistic means. In short, what is missing is what has been postulated by Koller (1979/2001) and House (1977/1981, 2001, to appear) as the prerequisite for the translation process as a whole and for establishing (levels of) translation equivalence, namely, text analysis.

Der Übersetzer [...] hat bei jedem Text als Ganzem wie auch bei Textsegmenten die Aufgabe, eine Hierarchie der in der Übersetzung zu erhaltenden Werte aufzustellen, aufgrund deren er eine Hierarchie der Äquivalenzforderungen bezüglich eines betreffenden Textes, bzw. ableiten kann. Diese Hierarchie steht in unmittelbarem Zusammenhang mit der impliziten bzw. impliziten und expliziten Übersetzungstheorie des Übersetzers.[...] Der Aufstellung einer solchen Hierarchie der zu erhaltenden Werte muss eine übersetzungsrelevante Textanalyse vorausgehen. (Koller 2001: 266, my emphasis)

All the studies mentioned above share one characteristic. All of them analyze 'scripted dialogue', i.e. the written original film script and its written translation. Two remarks need to be made with respect to the quality of this kind of data. First, most film scripts and their translations available for analysis are so-called pre-production scripts. Pre-production scripts are the written-down versions of the films which serve as the textual basis for the actual filming and dubbing processes respectively. They contain the dialogue and additional information, for example on the setting of the scenes.

Of course, the written dialogue in the script is the textual basis for the actual performance of the dialogue when the film is shot and dubbed. However, in the

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<sup>30</sup> Herbst defines equivalence on the level of the text function as follows: "Äquivalenz der Textfunktion soll also im folgenden beinhalten, daß der Text wie ein Original rezipiert wird; daß der Zieltext dabei die dominierende(n) Funktion(en) des Ausgangstexts ebenfalls aufweist" (Herbst 1994: 237).

<sup>31</sup> See also Herbst (1987).

act of performing the written dialogue for the film shooting and dubbing it becomes spontaneous speech. This change of medium necessarily implies that the prepared dialogue is adapted to the conditions of actual speech production by the actors. Actors may add or leave out linguistic elements – words, syllables, utterances, even turns – they may add or leave out pauses, hesitations or choose a different pace and timing with respect to turn-taking. In short, the dialogue in the film is very likely to differ meaningfully from the dialogue as it is written down in the film script. Strictly speaking, the above studies are investigating the translations of film scripts and not really the translations of films.

In his review of research models in audiovisual translation, Chaume (2003) points out two future avenues of investigation in film translation. The focus of future research should be placed on the special kind of textuality of film translations: First, he calls for studies of the prefabricated orality ('constructed speech') in film translations, regarding the approximation of authentic spoken language and communicative verisimilitude. Secondly, the particular textual constitution of a film text needs to be described. This would include investigations into types of verbal cohesion (as for example already presented in Herbst 1997), the use of visual cohesion ties, such as fade-outs and scene changes, and – crucially – the patterns of cohesion between the two semiotic modes.

Both the questions of prefabricated orality and visual-verbal cohesion will be addressed in the course of this thesis. But this calls for an integration of theories and methods from linguistics, visual analysis and cinematic narrative – disciplines which are often considered to be outside the scope of interest of translation studies. Before I propose such an integrated approach, the role of film translation in traditional translation studies needs to be addressed.

#### 4.1.2 Film translation within translation studies

Film texts and their translation have hardly been recognized in translation studies.<sup>32</sup> At the same time – or possibly as a consequence – few investigations of film translations explicitly ally themselves with one or the other theory or research model developed inside the traditional – i.e. not specifically concerned with multimedia translation – translation studies.<sup>33</sup> An exception are Descriptive Translation Studies (Toury 1985) which are comparatively often cited as theoretical frameworks (for example by Delabastita 1988 and Cattrysse 2001).

Early accounts of translation theory and practice, which take notice of film translation, as a rule, view translation in film exclusively in terms of synchrony between verbal and visual information. Film translation is seen as a special kind of translation which poses a medium-specific problem for the translator: The mapping of translated speech onto the visual appearance of the onscreen speaker. Nida (1964) and Mounin (1967), two of the most prominent translation scholars who mention film translation at all, posit three types of visual-verbal synchrony (or "isochrony" in Mounin's terms) in film translation. They claim that linguistic choice in the translation of a film text is constrained by the primacy of synchrony between the uttered translated text and visible lip movements, between the text

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<sup>32</sup> Comments in the form of brief remarks about mistranslations in film appear for instance in Hönig & Kußmaul (1984).

<sup>33</sup> See Stolze (1997), Hatim (2001) and Koller (2001) for overviews.

and the facial expression of the onscreen speaker, and between the text and the physical activity of the speaking and other participating characters.

Mounin also appears to be the first to mention one significant difference between dubbing and the translation of written texts: He mentions in passing that, in contrast to other text types, in film translation it is hardly possible to leave out information because the visual part of the message remains unchanged. That means, if the translator chooses to omit certain information given in the source text, he/she is usually forced to insert alternative information. In Mounin's view, this could be any kind of information, provided it fits the overall meaning of the film:

Was man übersetzen muß, das sind Sinn und Stoff des filmischen Moments. Und der Sinn ist getroffen, wenn das Publikum des synchronisierten Films genauso reagiert, wie das Publikum der Originalfassung reagiert hätte, selbst wenn man mit diesem Ziel hinzuerfunden muß. (Mounin 1967: 145)

In truth, however, we have to assume that substituting source text information for alternative information in the way Mounin suggests very likely alters the meaning of the translated film text as a whole.

Only in 1971 when Reiß coined the term "audio-medial text", texts that cross the boundary between the written and the spoken medium were integrated into a comprehensive theory of translation. At that time, the audio-medial text type did not include film texts or any other kind of text from visual media,<sup>34</sup> but obviously this initial mentioning of multimodality was an incentive for other classifications of text types which eventually included film texts. Snell-Hornby (1984) proposes a 'prototypology' in which she aligns single text types with factors relevant for their translation (for example 'equivalence', 'function of the translation for the target language recipient', 'semantic and pragmatic source text comprehension', 'creativity in translation'). In this prototypology, Snell-Hornby groups stage drama and film texts together as one text type "Bühne und Film" which merits 'free' translation ("literarisches Übersetzen", p. 415). For stage drama, Snell-Hornby argues further that the language used in translations has to meet several conditions in order to be suitable to be performed ("sprechbar, spielbar, atembar", Snell-Hornby 1984a: 113). These are preconditions which, in her view, preclude equivalence as an applicable concept for the translation of dramatic texts. Since she considers film and stage drama to be of similar kind, one may assume that this categorization is thought to be extended to the translation of films.

Focusing on film translations, Manhardt (2000), then, reasons in a similar vein. In this case, the permanent visual presence of the foreign culture accompanied by target language dialogue is understood as a 'cultural asynchrony' ("kulturelle Asynchronität", p. 180) which continually keeps the audience in a state of estrangement. She thus concludes that dubbing is an inadequate method for the translation of films.

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<sup>34</sup> In 1990 Reiß revised her notion of the audio-medial text type: Audio-medial texts do not make up a text type of their own. Instead they have to be seen as special forms of other text types. In addition she changed the term into "multi-medial" texts in order to include texts from visual media (Reiß 1990).

The work on film as a text type and film translation by Reiß, Snell-Hornby and Manhardt can broadly be counted as representing functionalistic and reception-oriented approaches to translation. In this framework, primarily shaped by the work of Reiß and Reiß & Vermeer (1984), the function and purpose – or "skopos" – of a translation for the target text recipient is of prime importance. The second determining factor is the person of the translator who works along the lines of pre-established text types – like those suggested by Snell-Hornby – and associated translation strategies. The categorization of texts as belonging to a particular text type is carried out on the basis of the translator's comprehension – which is not to be equalled with analysis – of the source text. The emphasis on the translator's understanding of the text as the point of departure for translation and translation assessment necessarily evokes the impression of a highly subjective and individualistic approach. Moreover, for some of the text types – including film texts – the role that the source text plays for the linguistic form of the translation is thought to be of lesser importance and consequently relegated to the background. Finally, the role of linguistics in providing analytical access to the meaning structures of the source text, its capacity for pointing to equivalent linguistic choices in the target language and its explanatory power with respect to the communicative function of linguistic choice in the source and translation texts is also considered to be only of secondary importance (Snell-Hornby 1986). Hence, it seems evident that such an approach to translation offers little reliable foothold for film text and translation analysis.

To conclude, apart from Herbst's (1994) study discussed above, there are no major investigations of film translations which are based on a combined linguistic and translation-theoretical perspective.<sup>35</sup> Yet it is the combination of linguistics and translation theory which makes the results of translation as both process and product intersubjectively verifiable. Linguistically-oriented translation theories and models for translation research based on linguistic theory do exist,<sup>36</sup> but up to now none of them includes film texts and their translations, i.e. multimodal texts. Still, these approaches have a number of advantages to offer for the analysis of translation in film: First, the source text, its linguistic and textual structure and also its socio-cultural meaning potential are seen as constitutive factors for the translation. Also, linguistically-oriented approaches to translation are in general always concerned with the equivalence relation between the source and the target text. Though it is renounced for example by the reception-oriented approaches mentioned above, equivalence is an important concept for research into texts and their translations – not in the sense of translational prescriptiveness, but rather in the sense of a meaningful connection between the source text and its translation, which can be accessed analytically.<sup>37</sup> Finally, the main advantage of a linguistically-oriented approach is that access to both the source and the translation text is facilitated by the systematic and analytical knowledge of the linguistic systems and the conventions of language use of the languages involved.

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<sup>35</sup> But see Baumgarten (2004, 2005).

<sup>36</sup> See e.g. Koller (2001). For the integration of translation theory and sociolinguistics, speech act theory and discourse analysis see Baker (1992) and Hatim & Mason (1990); for a relevance theoretic approach see Gutt (1991); for systemic-functional approaches see House (1977/1981, 1997) and Steiner (1995).

<sup>37</sup> See e.g. Koller (2001) for an overview of the concept of equivalence in translation studies and House (1977/81, 1997) for her notion of "functional equivalence".

In this context, it is especially convenient that, at least one theory of language employed in translation theory, namely Systemic Functional Linguistics, has also spurred offspring in approaches to visual analysis. It is to these approaches, film studies and in particular to their theoretical modelling of language use in film that I will turn in the next section.

## 4.2 Language use in visual media as a research object in approaches to visual analysis and film studies

Visual analysis is the study of visual representation and visual communication. Its objects of research are image types, including, among others, all types of photography (for example newspaper images, family photos), drawings (children's drawings, maps, charts), art works, cartoons, and films (documentary, ethnographic, fictional). The methods applied range from content analysis, historical analysis, structuralist analysis, iconography, psychoanalysis, ethnomethodology, to social semiotic analysis and film analysis.<sup>38</sup>

A basic distinction has been made within the field of visual analysis between the conception of images (i.e. the data) as records and as constructs. Images as records are produced to serve as research records of reality, as "documentary evidence of people, places, things, actions and events they depict" (van Leeuwen & Jewitt 2001: 4). Conversely, images as constructs are analyzed as evidence of how "text producers have (re-)constructed reality as evidence of bias [and] ideologically coloured interpretation" (p.5). It has to be noted that this distinction is necessarily a forced one. The boundary between the two types of pictorial data is blurred because in the final analysis, no recording of reality simply records reality. Since every recording presupposes choices and decisions prior to recording, virtually no image is without the imprint of the text producer. His/her choices with respect to camera angle, static or dynamic camera position, color or black and white photography, sound or no sound will be evident in the recording as the 'perspective' which the film offers on people, places and things. Nevertheless, accepting for the purposes of this thesis the typology of "record" and "construct", one can categorize fictional film as the "construct"-type of data; they are considered as (re-)constructions of one specific conception of reality.

The central issue in the present context is, of course, the theoretical and analytical sensitivity of the various approaches to visual analysis for the question of the relation of word(s) to image(s). Whenever texts combine verbal and pictorial elements, again, two analytical stances are possible. One is to consider the images as self-sufficient and self-contained meaning units. In this case, the accompanying text is seen as more or less freely exchangeable because it is either perceived as not constitutive to the meaning expressed by the image itself or believed to make no significant contribution to the meaning inherent in the image. The other perspective on words and images is an integrative one. There seems to be overall consensus that visual analysis "may" include the accompanying text to uncover the significant links the image makes with its co-text (van Leeuwen & Jewitt 2001), however, it is only the social semiotic approach (already mentioned

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<sup>38</sup> See van Leeuwen & Jewitt (2001) for examples of the application of these methods.



in section 3.4 above) which understands the verbal and the visual as one indivisible unit of analysis.

The social semiotic approach to visual analysis developed out of Systemic Functional Linguistics (SFL). It was first formulated in Kress & van Leeuwen (1990, 1992) and was proposed as a "grammar of visual design" in Kress & van Leeuwen (1996). Fundamentally, Kress & van Leeuwen see grammatical forms as resources for encoding interpretations of experience and forms of (social) interaction in language, and they find that the major (spatial) compositional structures which have become established as conventions of expression in the course of the history of visual semiotics serve the same goals. In other words, the arrangement of elements in an image is seen as systematic, principled and rule based as the ordering of linguistic elements in a written sentence or spoken utterance. That is, like SFL postulates for a text, an image is an instantiation of an underlying (visual) grammar. The internal organization of an image, accordingly, functions to communicate a certain interpretation of the experience of reality and a certain kind of interaction between the elements pictured and between the viewer and (the elements in) the image.

This view of a similarity between language and image is not an accidental match. In fact, this conception of a "grammar of visual representation" builds on an analogy between the three communicative functions ("metafunctions") which Halliday (1985) posits for verbal communication and the communicative purposes Kress & van Leeuwen posit for visual communication.<sup>39</sup> The three metafunctions which thus characterize both verbal and visual communication are the following: the "ideational", the "interpersonal" and the "textual". Roughly glossed, they serve to express representational, interactional and organizational meanings in texts.

The assumption of an identical functional diversification across communicative systems and regardless of the semiotic codes involved, allows the correlation of the meanings expressed by linguistic structures and the meanings realized by visual structures with a view to the overarching communicative functions they serve. Since the social semiotic approach to visual communication and SFL both understand all instances of communication as expressing these three metafunctions by default – i.e. realizing ideational, interpersonal and textual meanings – it should be possible to integrate the different modes of expressing meaning in one analytical model which can be applied to texts which combine the visual and the verbal semiotic codes (see Chapter 6).

Like SFL does for language, Kress & van Leeuwen's grammar of visual representation provides a comprehensive set of features and criteria for the analysis of visual communication. In contrast to, for example, cultural studies and ethnomethodological methods of visual analysis which offer a less categorical framework for analysis, the systemic-functional approach ensures that the interpretation of images follows certain rules of accountability and is intersubjectively verifiable. However, one drawback of an extensive set of analytical criteria is that it is more difficult to carry out an exhaustive text analysis. Therefore it is quite easy to understand why case studies within this paradigm primarily concentrate on non-dynamic visual data, i.e. photographs, drawings, magazine and billboard advertisements, and film stills.

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<sup>39</sup> See Chapter 5 for a detailed description.

Technically, a film is a succession of images evoking the impression of movement. When the image starts to 'move', the amount of meaningful information units to be considered in analysis immediately multiplies. In reaction to that, for reasons of research economy and feasibility, the focus of analysis is very often narrowed down. Most of the time, the reduced analytical scope is also at the expense of a full description of the interaction between the use of language and the visual structures in the text.

As Cranny-Francis (1987) points out, moving pictures, i.e. films, are "highly complex and mannered" (p. 157). Often in visual analysis, the way around this complexity of the film sign finds its expression in a more macrostructure-oriented approach to film. The research objectives, then, frequently involve the social and cultural recontextualization of the film's production and reception: Studies of this kind aim for example at unveiling the reflection of prevailing social and ideological structures and societal power relations evident in a film text, or at describing the patterns of reception, reading and reconstruction of a film by its viewers.<sup>40</sup> As it seems, virtually no studies complement their macrostructural stance by a principled look at the linguistic micro-level of meaning construction in film. Yet, it is at this deeper level of the data that the use of language contributes to the overall expression (or construction) of social structures and shapes the ways of reception by the viewers.

Even in social semiotic visual analysis, which, after all, theoretically recognizes texts which consist of the combination of visual and verbal semiotics – captured by their notion of multimodal texts – the interrelation of words and images is rarely addressed. Van Leeuwen (1985) offers a first take on the integration of verbal and visual information in expressing meaning. He frames the verbal and the visual in the idea of a "rhythmic" organization of film texts.<sup>41</sup> But in spite of this, it appears as if visual and linguistic analysis have never been carried out to the same depth.

To sum up, the fact that visual representations are often accompanied by spoken or written language is on the whole commonly acknowledged in the field of visual analysis. But while detailed descriptions and analyses of the visual structures are offered, their interrelation with the simultaneously present linguistic structures is paid much less attention. The verbal elements are mostly treated as an addendum with reduced informational value. And, while relative importance is being placed on where (spatially, see example (4.1) below) verbal information is located in relation to visual information, less emphasis is put on what is expressed by the verbal information – for example, whether or not it directly refers to co-present visual information. On the whole, the question how, i.e. by what kind of linguistic means meaning is expressed in multimodal texts and how it interacts with the visual information appears to be rarely asked and even less often addressed.

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<sup>40</sup> For an introduction to the reception-oriented approach to visual analysis see e.g. Sturken & Cartwright (2001).

<sup>41</sup> Van Leeuwen describes the relation between the rhythm of the visual presentation and the meaningful elements in film in the following way: "for [...] an element to occur on the beat of the rhythm remains sufficient condition for it to be perceived more prominent than the other elements in the chain [...] what is rhythmically made to appear prominent will be perceived as more important in an objective sense. Thus, by placing a word, a gesture, a sound, a camera movement on a moment rhythmically privileged [...], the editor can make it salient, draw the viewer's attention to it." (Van Leeuwen 1985: 222)

(4.1) An example of spatial relations between visual and verbal information.<sup>42</sup>



The final part of this section deals with the understanding of the role of language use in film in the field of film studies. I will also briefly address the attitude towards the translation of films within film studies.

Contemporary film studies which explore cinematic narrative, film style or point of view and narration in film – i.e. topics where one might think verbal information would have its place – are characterized by a perspective on their object of research which focuses on the visual elements while treating verbal elements as something given and of only marginal significance (cf. for example Bordwell 1985, 1989; Bordwell & Thompson 1997; Branigan 1984). Although, as was described in section 3.2 above, films have been featuring spoken language for the greater part of their history, speech and dialogue are conspicuously absent from theoretical writings on film and in analytical approaches to film. This theoretical and analytical neglect appears to be the result of the subordinate role traditionally assigned to language as a means of communication in film (Kozloff 2000).

In film studies, the use of language – called 'dialogue' or 'speech' – is generally considered as one part of film sound. Next to speech, film sound also consists of music and sound effects ('noise'). Dialogue in particular is understood as the "transmitter of story information" (Bordwell & Thompson 1997: 321), but not necessarily as ranking highest in importance among the overall uses and functions of sound in film. These are precisely delineated. Bordwell & Thompson (1997) describe the purpose of sound in film in the following way: "By selecting certain sounds, the filmmaker guides our perception of the image and the action." (p. 321). Example (4.2) below, taken from Broadwell & Thompson's *Film Art* (1997, section "Fundamentals of Film Sound"), is one example of this kind of understanding of the interplay between visual and verbal information. Note in particular the categorization of the dialogue as "chatter" and its function for the scene:

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<sup>42</sup> Fenjal advertisement, *Women's Weekly*, November 1987, taken from Kress & van Leeuwen 1996: 184. Of course, in film there is, in general, no disjoint spatial relation between verbal and visual information. Exceptions are comparatively rare stylistic means such as voice-over narration, off-screen dialogue and onscreen writing/graphics.

(4.2)

We can easily see how the sound track offers a stream of auditory information by considering a scene cut according to classical continuity principles. When filmmakers edit conversations in shot/reverse shot, they often utilize a *dialogue overlap* to smooth down the visual change of shot. In a dialogue overlap the filmmaker continues a line of dialogue across a cut. During a conversation in John McTiernan's *Hunt for Red October*, we get the following shots and dialogue:

**1. (ms) Over political officer's shoulder, favoring Captain Ramius (Fig. 9.6).**

Officer: "Captain Tupalev's boat."

Ramius: "You know Tupalev?"

Officer: " I know he descends ..."



Fig. 9.6



Fig. 9.7



Fig. 9.8

**2. (ms) reverse angle over Ramius's shoulder, favoring officer (Fig. 9.7).**

Officer (continuing) "... from aristocracy, and that he was your student. It's rumoured he has a special ..."

**3. (mcu) reverse angle on Ramius (Fig. 9.8).**

Officer (continuing): "... place in his heart for you."

Ramius: "There's little room in Tupalev's heart for anyone but Tupalev."

Here the officer's chatter provides an auditory continuity that distracts from the shot changes. Moreover, by cutting to the listener before a sentence is finished, the sound and editing concentrate our attention on Ramius's response.

(Adapted from Bordwell & Thompson 1997: 322/323.)

Dialogue, music and noise serve to point out visual information as salient and to distract the viewers from the 'technicalities' of the film: Sound is thus primarily a

means of addressee orientation: It functions to direct the viewers' reception of the film. However, this does not necessarily imply that speech is understood as being in a meaningful referential relation to visual information. Rather, sound is primarily understood as evoking the viewer's 'aural' attention to accompany the visual attention triggered by visual stimuli.

Two types of sound in film are distinguished: External or extradiegetic sound, i.e. sound accompanying the image; and internal (diegetic) sound, which appears to emanate from a visible onscreen source. Film dialogue spoken by onscreen characters belongs to the latter category of diegetic sound.

Not much has been specifically written about language use in film. Brophy (1992) describes the use of idiolects and social and regional varieties in American film production since the 1940s and their relation to the cultural contexts of the films' production and reception. Kozloff (2000) takes a more micro-level stance on language use in film. She is concerned with the function of the film dialogue for the film text as a whole. Next to arguing for the existence of film genre-specific language use for westerns, screwball comedies, gangster films and melodrama, she hypothesizes four functions of dialogue in film:

The dialogue paves the way for us to understand the visuals, repeats their information for emphasis, interprets what is shown, and explains what cannot be communicated visually. (Kozloff 2000: 39)

In other words, dialogue in film serves to support narrative causality, it facilitates character revelation, it determines and controls the viewer's evaluations of the depicted action and his/her emotional attitude towards it, and dialogue offers prominent actors opportunities for so-called "star turns", that is, the film dialogue serves the extratextual purpose of advancing the social image of an actor by providing opportunities for 'memorable lines' which often enter public discourse.<sup>43</sup>

However, neither Kozloff's account of the form and functions of film dialogue nor the general approaches to speech as part of film sound in film studies are seriously concerned with the exact shape of the referential relation between visually and aurally perceived elements.

With the general indifference toward film dialogue as a meaningful element in a film text, it is hardly surprising that the idea of film translation is not considered as meriting scientific attention in film studies. There is little critical awareness that the exchange of the film's language may lead to a significant aesthetic variation and a variation in meaning between the original film text and its translated version. The only mention of film dubbing is made by Bordwell & Thompson (1997) who address the question in the context of how to analyze a film which features a language the researcher is not proficient in. In such a case, Bordwell & Thompson advocate the use of a subtitled version because "by eliminating the original voice track, dubbing simply destroys part of the film." (p. 354).

To conclude, the aim of this section was to draw attention to two facts. Firstly, approaches to visual analysis and film studies do acknowledge the meaning

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<sup>43</sup> An example would be American actor Arnold Schwarzenegger's utterance: "Hasta la vista, baby" in the film *Terminator2 – Judgement Day* (1991) which became a prominent slogan in Schwarzenegger's 2004 run for the office of governor of the state of California as well as in the press coverage reporting on the campaign.

potential of verbal information in visual communication, albeit to distinctly different degrees. Neither visual analysis nor film studies offer an analytical apparatus for the integrated analysis of visual communication and its linguistic component. Secondly, the social semiotic framework of visual analysis makes use of theoretical concepts first developed for the semiotic system of language within the framework of Systemic Functional Linguistics. The social semiotic approach starts from the assumption that visual communication and language share the same functional diversification into ideational, interpersonal and textual functional components. It is this identity of communicative functions on which the model of language use in visual media to be developed in this thesis is based. Since the model will be applied to the comparative investigation of English texts and their German translations and possible language variation in German translations induced by the English source texts, the differences and commonalities between English and German need to be introduced. Section 4.3 below gives an overview of the relevant work on English and German language typology and English-German contrastive (text) linguistics and pragmatics.

### 4.3 English-German cross-linguistic variation

This section provides a brief account of the existing work on the variation between English and German regarding their language systems and use. First, a summary of the basic differences and commonalities between the German and English language systems will be given. Then, the linguistic expression which this basic constellation of characteristics finds on the surface level of language will be presented. In essence, the differences on the surface are differences in information structuring in English and German. These distinct forms of information organization on sentence and text level coincide with findings from contrastive pragmatic investigations into the communicative functions of the conventions of information presentation in German and English with respect to language- and culture-specific communicative styles.

English and German can be considered as genetically quite closely related but typologically distant languages (König 2001). The perceived closeness of English and German appears particularly striking in translation, where English sentences very often can be expressed grammatically by a German sentence which displays an analogous surface structure. See example (4.3).

(4.3)

- A *It was cold now in the time before daylight and he pushed against the wood to be warm.*
- B *Es war kalt jetzt in der Zeit vor Morgengrauen und er presste sich gegen das Holz um warm zu bleiben*

(Ernest Hemingway: *The Old Man and the Sea*, taken from Doherty 1997: 80)

B is a so-called 'analogous version' ("Analogvariante", Doherty 1995: 187) of the source text (A). The translation text exactly maps the semantic and syntactic conditions present in the source text. Though one might consider the German

version as flawed with regard to prevalent conventions of style, the sentence is perfectly acceptable from a grammatical perspective.

Despite the grammatical possibility of this kind of identity in surface structures, from the point of view of the organization of the respective language systems, English and German appear to be very different. Their major typological commonalities and differences, according to König (2001), are summarized below:

### **Major systematic commonalities between English and German:**

Both English and German distinguish between strong and weak verbs. The distinction between the two tenses "past" and "non-past" (*simple past/Präteritum* and *present tense/Präsens*) is expressed by a morphological opposition. Mood (declarative, interrogative, imperative) is expressed by word order. On the lexical level, both languages have multiple word verbs which consist of a lexical verb plus a prefix (e.g. *abholen*) or a particle (*sing along*).

### **Systematic differences between English and German:**

- German:
- morphological distinction of grammatical gender
  - finite verb in V2 position in main clauses and Vfinal position in subordinate clauses
  - the patterning of the linear structure of the sentence into distinctive 'topological fields' (*Vor-, Mittel-, Nachfeld*)
  - expression of grammatical relations (subject, object) through morphological case marking
  - modal particles as a class of function words
    - frequent use of modal particles
- English:
- opposition of present and progressive verb aspect
  - expression of grammatical relations (subject, object) through word order:
    - identification of the grammatical subject in main clauses by its position directly in front of the finite verb
    - objects of ditransitive verbs are differentiated by word order or the use of prepositions
  - frequent use of converbs

Hawkins (1986) provides a comparative typology of English and German. He claims that the major contrasts between the two languages (which he sees as consisting of different forms and capacities of grammatical morphology, word order freedom, basic grammatical relations and their semantic diversity, raising structures, extractions and deletions) are based upon one basic principle in regards to the relation between semantics and syntax on the surface structure: In his view, the morphological marking of grammatical relations in German leads to a closer one-to-one mapping between surface form and meaning, i.e. between syntactic categories and semantic roles. On the contrary, the syntactic-semantic relations in

English are more versatile and this results in a greater ambiguity as to the grammatical status of the surface forms.<sup>44</sup>

Since the morphologically distinct forms in German carry distinct grammatical meanings, the single elements of a sentence are not necessarily bound to a certain position within the sentence. In English, on the other hand, it is mainly the position of the constituents relative to the verb which signals their grammatical properties. This is a difference in the languages' capacity of word order freedom. Accordingly, English is seen as a language with relatively fixed word order, i.e. a language in which word order functions to signal basic grammatical relations, whereas German can be described as a language with relative free word order – i.e. a language in which word order functions pragmatically. To use word order pragmatically means, in essence, to use it to distinguish known – 'old' – information from what is unknown – 'new' – in a sentence.

Another important difference between English and German which is also pointed out by Hawkins concerns the question of what kind of linguistic elements can take the position of the grammatical subject: In contrast to English, German has semantic restrictions on selecting inanimate and non-conscious entities as subjects (in agentive roles), while English is more versatile in this respect. However, the selectional restrictions in German obviously only apply to a certain degree. In example (4.4) below, the selection of an inanimate, non-conscious being as subject results in an ungrammatical German sentence. In contrast, in example (4.5), the choice of an inanimate, non-conscious subject is grammatically acceptable. The choice of subject only leads to a slightly unconventional personification, which, of course, may be judged as more or less stylistically appropriate. (The grammatical subjects are underlined.)

(4.4)

A *This hotel forbids dogs.*

B *\*Dieses Hotel verbietet Hunde.*

(Taken from Hawkins 1986: 58)

(4.5)<sup>45</sup>

A *Anti-aging therapies of the future will undoubtedly have to counter many destructive biochemical processes at once.*

B *Wirksame Therapien müssten allerdings den Kampf gegen viele zerstörerische biochemische Prozesse gleichzeitig aufnehmen.*

Doherty (for example 1993, 1996, 1999, 2003) investigates the contrasts between English and German in translations from English into German. She assumes that the difference between grammatical and stylistically well-formulated translations

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<sup>44</sup> The monolithic explanation of one unifying underlying principle determining a variety of contrasts manifest in surface forms has been criticized (see e.g. Lenerz 1987).

<sup>45</sup> Taken from a translation and parallel text corpus of popular scientific writing, compiled within the project "Covert Translation" (Research Center on Multilingualism, University of Hamburg).



and their original texts will reveal the differences in the preferences in target and source language use which are the surface expression of differently set parameters of information structuring, or "perspective", in the two languages (Doherty 1993). According to Doherty, the differences in information structure in English and German are due to a combination of factors involving the different possibilities of mapping grammatical subjects with semantic roles, topicalization and also the different positions of the verb and the directionality of the verb phrase. Her argument is that while English is more versatile in the choice of grammatical subjects in agentive roles, German is more flexible with respect to topicalization. And while the English verb is located at the left periphery of the sentence and the verb phrase accordingly branches to the right, the German verb may be located at the far right of the sentence, with the verb phrase branching to the left. Thus, Doherty concludes, English and German display opposite conventions of information structuring. The focus of an English sentence is located on the left, while in a German sentence, it is commonly positioned towards the end of a sentence.<sup>46</sup> In translations from English into German, this difference in perspective is expressed by the different sequencing of the constituents of a sentence. Compare the example below. Focus elements are underlined.

(4.6)

- A *Soon after the rain, a white salt efflorescence appears to coat the valley sides and even the buildings of the region.*
- B *Nicht lange nach einem Regen sind die Berghänge und sogar die Gebäude der Gegend mit einer weißen Salzschrift bedeckt.*

(Taken from Doherty 1993: 19)

For this particular English original sentence, Doherty also offers an intermediate version of translation which maps more closely the information structure of the original (see (4.7) below). This example accentuates that the postulated differences in information organization are in fact mere preferences in style and as such probably possess a comparative likelihood of change. It seems reasonable to suggest that at some point in the near future, German sentences such as B below, displaying a focus on the left, might be perceived as a valid stylistic option.

(4.7)

- A *Soon after the rain, a white salt efflorescence appears to coat the valley sides and even the buildings of the region.*
- B *Nicht lange nach einem Regen bedeckt eine weiße Salzschrift die Berghänge und sogar die Gebäude der Gegend.*

(Taken from Doherty 1993: 19)

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<sup>46</sup> "Die Direktionalität dieses Unterschieds in der Informationsstruktur deutscher und englischer Sätze korrespondiert in auffällender Weise mit der grammatischen Direktionalität beider Sprachen, insbesondere mit der als grundlegend angenommenen links- oder rechtsperipheren Stellung des Verbs." (Doherty 1993: 21)

Fabricius-Hansen (for example 1996, 1998, 1999) also employs translations and original texts to investigate the systematic differences between English, German (and Norwegian). She focuses on aspects of informational density in the individual languages. She suggests that, in contrast to German, English favors incrementality of discourse information<sup>47</sup>. That is, in English, an additive organization of discourse information, portioned out in smaller chunks in order to reduce informational density, is preferred, whereas in German, informationally dense, hierarchical information packaging is more common. Like Doherty, Fabricius-Hansen cites language typological characteristics as the underlying reason for these different forms of information organization: In German, the so-called 'middle field' (*Mittelfeld*) – between the finite verb in V2 and the non-finite verb in Vfinal position – can be expanded by a whole series of phrasal adverbials. Furthermore, at noun phrase level, German allows extensive pre-modification. These are structural preconditions which facilitate the organization of discourse information through hierarchical information packaging to a greater degree than is feasible in English where the more fixed word order acts as an effective constraint on sentence complexity.

As presented in Chapter 2, House (1996) claims that on the level of pragmatics and discourse organization, English and German differ along dimensions of communicative preferences. They are reproduced in the figure below:

<i><b>ENGLISH</b></i>		<i><b>GERMAN</b></i>
<i>Indirectness</i>	↔	<i>Directness</i>
<i>Orientation towards others</i>	↔	<i>Orientation towards self</i>
<i>Orientation towards persons</i>	↔	<i>Orientation towards content</i>
<i>Implicitness</i>	↔	<i>Explicitness</i>
<i>Use of verbal routines</i>	↔	<i>Ad-hoc-formulation</i>

**Figure 4** Dimensions of communicative preferences between English and German.

According to House (2004a), these dimensions of communicative preferences can be seen as general hypotheses about the nature of English–German cultural differences governed by the choice of grammatical and lexical means in communicative interaction. Linguistic choice is understood to be determined by the lexical and grammatical repertoires provided by the respective language systems and by the norms of use connected with each of their linguistic elements. This view is supported by Clyne (1993) who points out that there is a correlation between the language specific use of grammatical means and the emerging structure of the text or spoken discourse in terms of information organization. That is to say, linguistic choice in accord with prevalent norms of usage will result

<sup>47</sup> Fabricius-Hansen defines discourse information as "the information conveyed by the text in its totality" (Fabricius-Hansen 1999: 183).

in texts and spoken discourse in which the culture-specific communicative preferences are evident. Linguistic choice in German spoken and written genres, then, would tend to encode the culture-specific preference for a 'transactional' style focusing on the content of a message. In contrast, English language use would encode the cultural preference for a more 'interactional' style, focussing on the addressee of the message. Thus, in terms of the Hallidayan metafunctional diversification of language, German discourses and texts can be said to tend to emphasize the ideational function and, conversely, in English discourses and texts more emphasis is put on the interpersonal function. This picture of intercultural English-German differences based on linguistic choice is supported by similar results from other research (cf. Clyne 1987, 1993, 1994; Byrnes 1986; Kotthoff 1989).

The relation between English and German with respect to their language systems and language use can be summed up as follows: The contrasts in the typological characteristics of English and German seem to have an impact on the way in which native speakers of the respective languages prefer to encode their thoughts and the messages they want to convey in communication.

Nevertheless, there are signs that – in certain areas of text production – the prototypical German preference for a content-oriented, transactional communicative style undergoes a process of change which appears to be triggered by the presence and use of English as a global lingua franca. For example, specific types of business communication and popular scientific texts in German seem to be affected by a special kind of register variation (Baumgarten 2003; Baumgarten, House & Probst 2004; Böttger 2002, 2003). Texts from these genres lately have come to display a comparatively pronounced linguistic realization of the prototypically Anglophone style of interpersonal and interaction-oriented language use. This change in communicative preferences is expressed by shifts in the conventions of use for certain lexical and grammatical elements in German – especially regarding their frequency of use and co-occurrence patterns (Baumgarten 2003a, in press; Baumgarten & Probst 2004). Thus, even though the language system determines the basic patterns of language use in the sense that it determines which linguistic structure is grammatical and which is not, the influence of the typological characteristics of a language might not reach so far as to permanently govern the stylistic acceptability of the combination of linguistic structures in actual language use. This might especially be the case when language specific stylistic preferences have to compete with other models of communicative styles in multicultural and multilingual communicative settings set up by, for example, globalized economy, science or – as in the case of the present study – popular culture.

The aim of this chapter was to give a review of the research areas relevant to the double goal of this thesis, namely the investigation of film translations from English into German with respect to an influence of the English language on German communicative preferences and the development of an analytical model for this purpose. It was shown that there is an academic discourse on the special topic of translation in film – however, there is almost no linguistically-oriented research on film translations. Also, traditional, i.e. non-multimodal, translation studies provide only a very vague theoretical integration of film texts under the umbrella term of "multi-medial texts" and offer no analytical models and no

theoretical concepts for the study of the translation of film texts. Approaches to visual analysis, while offering extensive sets of analytical criteria for the visual part of multimodal communication are considerably less explicit about the mode of analysis for the accompanying verbal information. Though especially the social semiotic approach to visual analysis advocates the integrative analysis of verbal and visual information in multimodal texts on a theoretical level, the actual application of this premise in analysis appears to be conspicuously absent. The situation is similar in film studies where little attention is paid to the fundamentally meaningful connection between the visual and the verbal in terms of a referential relation between elements of these two semiotic codes co-occurring in film texts. In other words, the fact that words relate to their visual context, thereby lending special (textual) prominence to the particular piece of visual information verbally referred to, is an issue which is, on the whole, neglected in studies on cinematic narrative as well as by scholars working on film style and film aesthetics. Whenever language use in film is addressed, the interest lies primarily in the content which is expressed and the message which is conveyed and not in the linguistic means which are employed for this purpose. Finally, contrastive studies in linguistics provide insight into the different levels of contrast between English and German. The differences – presented here predominantly from the perspective of information organization – are the results of investigations ranging in focus from language typology to pragmatics. The contrasts on the level of the language systems have been described as finding expression in language specific preferences for the arrangement of surface forms in actual discourse. This idea of typology-driven language use has been described further as encoding certain patterns of communicative behavior, or preferences for certain communicative stances, which native speakers of English and German adopt respectively. Still, to a certain extent independent of the pre-patterning of communication ascribed to the underlying workings of language typology, there seem to be indications that language- and culture-specific communicative preferences shift in situations of language contact. In short, language use, in the sense of a particular choice of linguistic means from the lexical and grammatical repertoire which the overall linguistic system provides, is ultimately seen as reflecting synchronic, culture-specific communicative preferences.

In this thesis, linguistic choice in English original texts and their German translations will be investigated with respect to the differently shaped communicative preferences between the two languages. I start from the assumption that the ways in which speakers of English and German choose to encode their messages always offer a particular, language specific, perspective on the contents to be conveyed and the form of (social) interaction between author and addressee in the process of communication. The choice of linguistic means is determined by the system of lexis and grammar of each language and also by culturally determined types of communicative behavior. These can be described along the dimensions of communicative preferences for the English and German language communities. The idea that language use encodes or is the reflection of higher level cultural meanings is one of the cornerstones of systemic-functional theory. In order to be able to offer a theoretically coherent model of analysis for multimodal texts, such as film texts, the next chapter shows how linguistics, visual analysis and film studies can be meaningfully integrated in the framework of systemic-functional theory.

## 5 The theoretical foundation of the model for the analysis of language use in film

The model of analysis for language use in film and its implementation in the investigation of source text-induced language variation in German translations is based on an extended framework of systemic-functional theory. This chapter discusses the combination of Systemic Functional Linguistics, the social semiotic approach to visual analysis, theory of film and cinematic narrative as the central conceptual parameters for the analysis of film texts and their translations, and introduces the English and German approaches to register, text and discourse analysis principally relevant to the process of analysis. This provides the theoretical basis for the analytical model for language use in film presented in Chapter 6.

Section 5.1 provides separate descriptions of the major theoretical and structural principles of film, language and visual communication. In section 5.2 language, visual communication and cinematic narrative will be discussed with respect to their theoretical and analytical compatibility in a systemic-functional approach to text analysis. Section 5.3 describes further, non-systemic-functional approaches to register, text and discourse analysis which will be integrated into the model of language use in film.

### 5.1 Systemic Functional Linguistics, visual grammar and cinematic narrative: Theoretical concepts and structural principles

In this section, the major theoretical and structural principles of film, language and visual communication will be described – the latter two from the vantage point of systemic-functional theory. Because 'meaning' and 'meaning construction' are prominent concepts in this context, a few general preliminary remarks about the notion of 'meaning' in film texts and its bearing on their analysis are necessary.<sup>48</sup>

The analytical model to be developed in this thesis is a model for the analysis of the language used in film texts. As films are considered as 'texts' in this study, it is clear that I do not claim textual status for anything but written texts. It follows that I do not necessarily restrict the term 'text analysis' to the notion of the linguistic or literary practice of the exegesis of written text. Still, such overtones possibly evoked by the term 'text analysis' are welcome to the extent that they allude to a reclaiming of the significance of the use of language in film – and visual media in general – which I do intend. As described in Chapter 4, next to pictorial information the accompanying linguistic structures regularly appear to be in a disfavored position regarding (the depth of) analytical interest. Reclaiming the contribution that language makes to multimodal texts means to identify and assess the parts that linguistic and pictorial elements play in establishing the meaning of a text.

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<sup>48</sup> Note that I necessarily start from what may appear, from certain vantage points, a comparatively unrefined concept of "meaning". It is not my goal, however, to attempt a general definition, exhaustive discussion or deconstruction of the term.

Meaning in film is constructed by the co-occurrence of visual and verbal information.<sup>49</sup> The special aim of the analytical model is to facilitate a functional description of the combination of visual and verbal elements in film texts by decomposing the information given into its constituent visual and verbal parts and assessing their individual contribution to the formation of the meaning of the textual whole. The presupposition is that the visual and verbal information of a film text are in a "redundancy relation" ("a predictable relation or connection of two things [...] necessary for the construction of meaning", Lemke (1995: 169) [my emphasis]) with each other. Following this idea, a unit of information would not have intrinsic meaning, but its meaning would always be established in relation to another unit of information. That is to say, an instance of combination of verbal and visual information in film only has one specific meaning because the single units of visual and verbal information are redundant, i.e., they serve as contexts for each other in which their particular meanings, as it were, come to life. Consider (5.1) below where the visual information of the character's tapping his head constrains the possible referents and thus the possible meanings for the verbal informational unit THIS:

(5.1)



You're not using this.

In this example, it is only the combination of the visual and the verbal information which realizes the expression of the complaint which can be glossed as 'You are not thinking'.

Conversely in the case of (5.2) below, the visual information broadens the referential scope of the verbal utterance. The visual provides information which renders the utterance ambiguous.

(5.2)



male character: This looks particularly inviting.

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<sup>49</sup> Acoustic information such as diegetic and non-diegetic music is also a component of the meaning of a film text. Acoustic information will not be included in the present analysis.

The referent of the utterance can be either the sun-lit terrace or the woman in the swimsuit.

The clue to the text analysis of films, therefore, lies in paying equal attention to what is said and to what is seen and the interaction between visual and verbal information in the processes of meaning construction in the text.

The precondition for an integrated view on the co-construction of meaning across semiotic systems is a conception of meaning and communication that allows the theoretical generalization of (communicative) functions involved in the construction of meaning which transcends the specificities of the different sign systems involved. The basic idea followed here is that the visual and linguistic semiotic systems are different resources for expressing essentially the same (communicative) functions. As well as the notion that all forms of communication encode higher-level cultural meanings, this idea of general, overarching communicative functions is a cornerstone of systemic-functional theory.

In what follows, I will move from the description of the major theoretical concepts of a systemic-functional view of language to the structural principles of a systemic-functionally oriented grammar of visual communication, to a description of the formal system of film and the principles of narrative construction in film in order to bring them together in an extended systemic-functional framework in section 5.2.

### 5.1.1 Systemic Functional Linguistics

Systemic Functional Linguistics (SFL) has been developed in the context of the so-called British Contextualism by Halliday, Martin, Matthiessen and others since the late 1960s.<sup>50</sup> It is a theory of language rooted in anthropology – mainly in the work of Bronislaw Malinowski (1935), from whom it adapted the notions of the 'context of situation' and 'context of culture' enveloping human behavior. The linguistic basis of SFL is Firth's model of language (Firth 1957) and his idea to relate the function of the elements of language to the context of their occurrence. In Firth's view, language is embedded in both the context of culture and in the context of situation of a communicative event. He posits that "all meaning is function in a context" (quoted in Halliday & Hasan 1989: 8), i.e. the meaning and function of linguistic elements are determined by the extralinguistic context of their occurrence. Thus, Firth essentially postulates a social and functional approach to language.

SFL, accordingly, is a theory of language centered around the notion of language function in context. Language is explicitly understood as a resource for making meaning and construing experience. Texts are instances of the language system – determined by situational contexts, whose semiotic structure in turn is determined by the context of culture. For the purposes of the present thesis, the notions of paradigmatic relations and linguistic choice, stratification, metafunctional diversification and instantiation are especially relevant. I will introduce these in turn.

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<sup>50</sup> See among others Halliday (1961, 1978, 1985); Halliday & Matthiessen (1999); Martin (1992); Matthiessen (1995). For general discussions of various aspects of systemic linguistics see the references in Halliday & Matthiessen (1999).

Paradigmatic relations and linguistic choice: The central characteristic of SFL is the conception of language as "social semiotic" (Halliday 1978; Halliday & Matthiessen 1999). Language use – or more specifically, the choice of linguistic means made available by the linguistic system – is seen as, at the same time, determining and being determined by the contexts of situation and culture. Language use actively shapes and defines the social reality of the participants involved in the communicative situation, while the communicative situation constrains the linguistic options available to the participants.

In accordance with this concept of language as a systemic resource with which speakers and hearers can interact meaningfully, SFL especially foregrounds the significance of the paradigmatic organization of the linguistic system. The paradigmatic range of semantic choice present in the linguistic system is the meaning potential to which the members of a culture have access. Paradigmatic organization thus means that the speakers are offered interrelated options as alternative strategies of linguistic expression. With respect to interrogatives, for example, a speaker chooses between Yes/No-questions and *wh*-questions depending on the communicative function he/she wants to express in a particular situation.

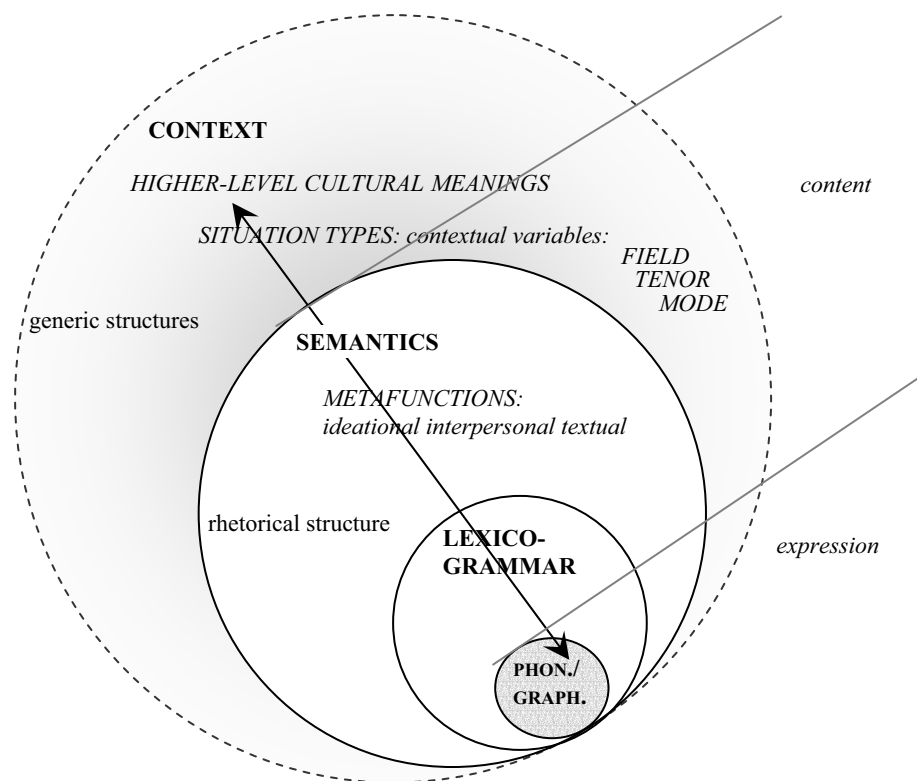
Every instance of linguistic choice by a speaker, however, has consequences which reach beyond the immediate context of clause and sentence structure. This is due to the fact that SFL considers language as a stratified resource where choices on one level affect the surrounding levels as well.

Stratification: In the systemic-functional view, language bridges from cultural meanings (social hierarchies, role relationships, social processes) to the actual, concrete expression of linguistic structure in either sound or writing. The strata assumed are "context", "semantics", "lexicogrammar" (grammatical structures and lexical items) and "phonology/graphology". See Figure 5 below.<sup>51</sup>

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<sup>51</sup> The representation of stratification as concentric circles is to show that each stratum – or level – of language appears in the environment of another stratum (cf. Halliday & Matthiessen 1999, Chapter 1).





**Figure 5 Stratification of language (adapted from Matthiessen 1995).** "Higher-level cultural meanings" refer to an anthropological concept of 'culture'. 'Culture' is understood as the sum total of knowledge, attitudes and values which inform a society or characterize an individual.

The levels range from most abstract (context) to most concrete (phonology/graphology). They are related by means of realization: On the level of "context", cultural meanings are expressed through situation types which are themselves determined by configurations of the contextual variables "field", "tenor" and "mode" (cf. Halliday 1978 and Chapter 6 below). In a text exemplar, this cultural-situational context is expressed by "semantics", providing ideational, interpersonal and textual meanings. These are, in turn, expressed by lexicogrammatical choices, realized either phonologically in speech or graphologically in writing. Following Hjelmslev (1961), semantics and lexicogrammar are the content plane of the language. These two on the one hand, and phonology, graphology on the other, stand in a content-expression relation with each other.

**Metafunctional diversification:** In the systemic-functional model, language is functionally diverse. Grammatical structure is not stated in terms of grammatical classes, but rather in terms of the functions they serve.

Language fulfills three major functions, called metafunctions: the ideational, the interpersonal and the textual. The ideational metafunction is concerned with construing experience. Language functions as a means of conveying and interpreting experience of the world and serves the expression of content.

Lexicogrammatical means for the expression of ideational meaning are, for example, transitivity choices (configurations of verbal processes and participants) and conjunctive relations. The interpersonal metafunction is concerned with enacting interpersonal relations through language. Language serves as a means for conveying the speaker's relationship with his interlocutor(s). It expresses social roles and communication roles as well as the speaker's attitudes and his/her influence on the attitudes and behavior of the hearer. Interpersonal meaning is reflected in the lexicogrammar, for example, in mood choice. The textual metafunction is an "enabling function" (Halliday 1978: 145). It is concerned with information organization. More precisely, the textual metafunction organizes ideational and interpersonal meaning as cohesive and coherent text. Textual meaning is reflected, for example, in thematic structures and non-structural cohesive means which signal the internal semantic relationships in texts.<sup>52</sup>

Instantiation: In SFL, texts are considered as instantiations of the linguistic system according to the requirements of a particular situational context. A text, thus, represents choice. A text is a particular configuration of meanings from the total set of options that constitute the meaning potential which is characteristic of a particular type of communicative situation (Halliday 1978).

These general organizational principles are assumed to be the same in all natural languages. All languages are stratified and metafunctionally diversified. Texts are instances of the linguistic system – they are configurations of meanings chosen from a range of paradigmatic options.

Variation between languages, then, can be traced along the following lines:

1. Stratification: In general, languages show more similarities on the more abstract levels of organization, i.e. context and semantics, than on less abstract ones, i.e. lexicogrammar and phonology/graphology. That means, languages tend to express similar meanings but encode them in different lexical and grammatical means.

2. Metafunctional diversification: Languages may vary in the relative weighting of the metafunctions in texts. Typically, a language foregrounds either the ideational or the interpersonal metafunction according to the general (cultural) preferences for either interpersonal-interactionally or informational-transactionally oriented communication (cf. section 4.3 above for the case of English and German and 5.3 below).

3. Instantiation: In similar situational contexts, languages may offer different paradigmatic choices.

### 5.1.2 Visual grammar: Structures of visual representation

This section provides a description of the lines of convergence between language and visual communication. I will outline the role of the systemic-functional concepts of instantiation, stratification and metafunctional diversification for

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<sup>52</sup> Another way of thinking of the metafunctions is as meaning components: Every text contains ideational, interpersonal and textual meanings, realized by linguistic means – lexical and grammatical units – which serve to express ideational, interpersonal or textual functions.

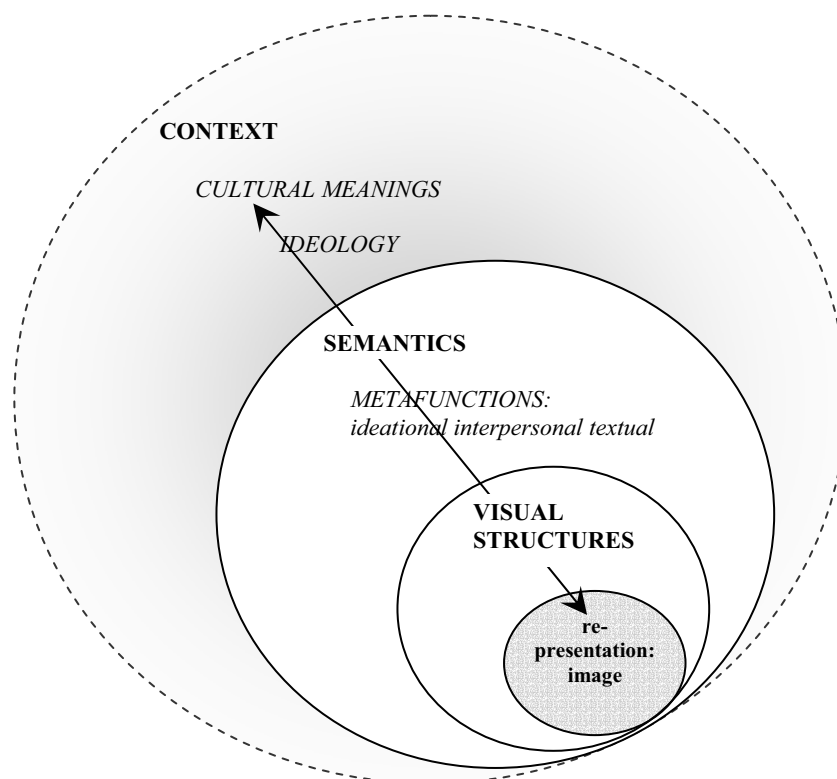
visual communication, and give a summary of the major structural principles of visual representation as developed by Kress & van Leeuwen (1990, 1992, 1996).<sup>53</sup>

### 5.1.2.1 Instantiation

Similar to the view adopted in SFL, Kress & van Leeuwen consider visual texts as instantiations of the system of visual communication according to the requirements of particular situational contexts.

### 5.1.2.2 Stratification

Although stratification is not an explicit concept in their grammar of visual representation, Kress & van Leeuwen seem to distinguish between certain levels within the semiotic system of visual communication which are reminiscent of the strata of language described above. The analogous levels to graphology/phonology, lexicogrammar, semantics and contexts would be: "representation/image", "visual structures", "semantics", and "ideology". The latter is to be understood as particular formations of meanings on the superordinate contextual level of culture. See Figure 6 below.



**Figure 6 Stratification of visual communication.**

<sup>53</sup> Kress & van Leeuwen's work is to date practically the only available comprehensive framework for the analysis of visual communication and representation, and for the analysis of multimodal texts, based on a comprehensive theory of communication and language. The reason is, they claim, that "literate cultures have systematically suppressed means of analysis of the visual forms of representation" (Kress & van Leeuwen 1996: 20/21).

The relation between the strata of semantics and ideology is particularly significant in visual communication. Because pictures are manufactured, they do not merely innocently reflect reality. Pictures are always specially chosen representations of a certain conception of reality which is bound up with the interests of the social institutions within which the pictures are produced, circulated and received.

Further, from SFL, Kress & van Leeuwen derive the assumption that visual communication – i.e. texts from the semiotic system of visual representation – serves the same communicative functions as linguistic texts – i.e. texts from the semiotic system of language. Both systems are considered to be metafunctionally diversified, but while in language the ideational, the interpersonal and the textual metafunctions are expressed by specific lexical and grammatical means, they are realized by specific sets of representational resources in visual communication.

Despite the similarities, language and visual communication are only partly converging systems of meaning construction. It is assumed that, since both language and visual communication express meanings belonging to and structured by the culture of their origin, there is a certain degree of convergence between the two semiotic systems. However, this does not mean that visual structures are identical with or similar to linguistic structures.

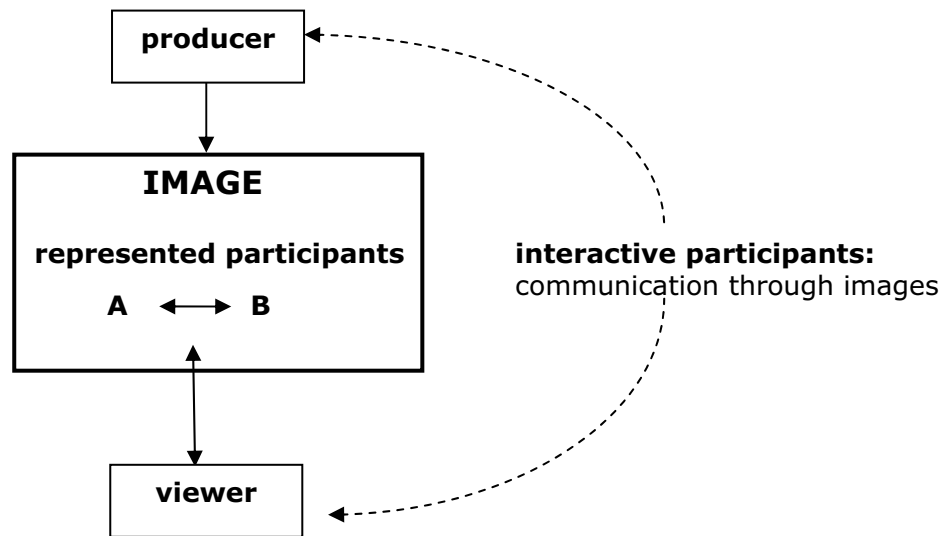
Visual structures realize meanings as linguistics structures do also, and thereby point to different interpretations of experience and different forms of social interaction. The meanings which can be realized in language and in visual communication overlap in part, that is, some things can be expressed both visually and verbally; and in part they diverge – some things can be 'said' only visually, others only verbally. But when something can be 'said' both visually and verbally the way in which it will be said is different. (Kress & van Leeuwen 1996: 2)

### 5.1.2.3 Metafunctional diversification

The initial interest for a formulation of a functional grammar of visual representation developed out of the analysis of multimodal texts, where it was found that the pictorial elements often conveyed meanings, values and attitudes which were not also presented in the verbal part of the text, or even contradicted it (Kress & van Leeuwen 1992). Hence, the verbal and the visual parts of multimodal texts always complement each other either by parallelism or opposition in meaning. This double issuing of meaning is due to the fact that in a multimodal text, images and writing each provide individual realizations of the ideational, interpersonal and textual metafunctions, which may carry different realizations of ideational, interpersonal and textual meanings.

In what follows, the definitions of each of the metafunctions in visual communication will be presented and examples of the major structural principles associated with their realization will be given. First, however, the notion of participants and participant relations in visual communication needs to be clarified.

Visual communication differentiates between represented participants and interactive participants. The represented participants are the people and objects depicted in images. The interactive participants are the viewer and the producer of an image, who communicate with each other through the image. Figure 7 below represents this constellation between participants in schematic form.



**Figure 7** Participants in visual communication.

Visual texts encode three kinds of relations between these two types of participants:<sup>54</sup>

1. Relations between the participants represented in the image.
2. Relations between interactive and represented participants, expressing the producer's and viewer's attitudes towards the represented participants.
3. Relations between interactive participants.<sup>55</sup>

I will now go on to describe the metafunctions of visual communication and the major resources of their expression.

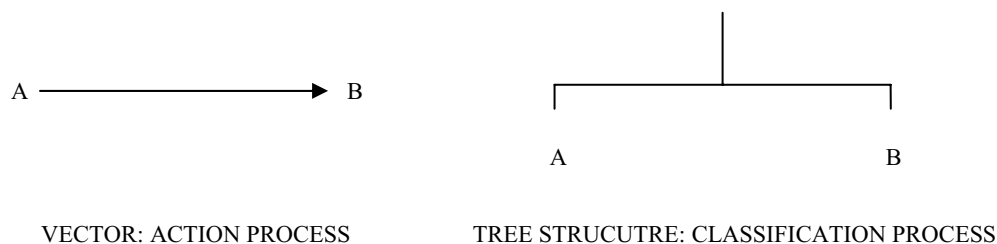
The ideational metafunction in visual communication serves the referential or pseudo-referential<sup>56</sup> representation of objects and their relations in a world (for example reality) outside the semiotic system of visual representation. The system of visual representation provides paradigmatically organized options for the representation of objects and the relations between them. Typical structural options are transitivity choices: Figure 8 below presents two types of visual transitivity options: Vectors and tree structures can be used to represent two

<sup>54</sup> See Kress & van Leeuwen (1996, Chapter 4).

<sup>55</sup> The relation between interactive participants exists even though there is, in general, no immediate and direct contact between viewer and producer.

<sup>56</sup> Reference to objects, people and places which do not exist in reality.

objects (participants A and B) as being related by either an "(inter)action process" or a "classification process".



**Figure 8 Ideational metafunction: Relations between objects (participants).**

Action processes are particularly common in film where they serve to underpin the dynamic progression of the action. In example (5.3)A, the two main participants – the male character and the yacht – are connected by a vector formed by the character's head and telescope. The yacht is singled out as the goal of the action of watching. (5.3)B is the subsequent shot to A. It depicts the target of the vector in A, introduces a new participant (the woman) and explicates the process of watching.

(5.3)



B represents the view through the telescope (indicated by the circular shade at the margin), i.e. the perspective that the male character is supposed to have. The viewer in this instance shares the perspective of the character. The woman in B may also be implied as the actual, albeit invisible, target of the vector in A.

The interpersonal metafunction expresses the social relations between the producer of an image, the viewer and the objects represented in the image. Structural options include, for example, representation by 'naturalistic images' (photographic realism) or 'abstract' diagrams. The difference between naturalistic images and diagrams can be described in terms of "visual modality" (Hodge & Kress 1988; Kress & van Leeuwen 1996). Modality in visual texts refers to the relation of the content of the image to the extramedial world in terms of authenticity, realism and naturalness. Naturalistic photography has a "high" modality, while, at the other end of the spectrum, diagrams have "low" modality. The concept of modality is essential in visual communication because images can represent people, objects and places as if they were real or as if they are not.

Images can thus enact different degrees of involvement between the viewer and the depicted elements. Photorealistic pictures ('high modality'), for instance, are intended to evoke processes of recognition and identification in the viewer, thereby creating for the viewer the impression of an 'imaginary we' between her/himself and the depicted element.

Visual modality is realized by the combination of choices in color (saturation, differentiation and modulation), contextualization (presence or absence of background in the picture), representation (maximum abstraction vs. pictorial detail), depth of perspective, illumination (light and shade) and brightness (color contrast). At present the conventions of naturalistic images – i.e. pictures which appear to the viewer as objective representations of reality – are determined by the technology of common 35mm color photography as produced by standard photo cameras. This is the standard usually favored in motion picture feature films.

Further interpersonal options are available with respect to the angle of a depicted object in relation to other objects in the image and the viewer. A person in an image may address the viewers directly by looking 'out of the picture'. This conveys a sense of interaction between the depicted person and the viewer as, for example, in (5.4) below.

(5.4)



In contrast to (5.3) above, the photograph (5.4), even though it depicts a part of reality, is not completely naturalistic in terms of currently prevailing conventions of naturalism because it is in black and white. So, while the picture directly addresses the viewer and involves him/her in an interpersonal relationship, the more abstract representation of black and white at the same time creates a form of interpersonal distance between the depicted person and the viewer.

A person depicted in a picture may also be turned away from the viewer, which indicates the absence of direct interaction. This is a typical feature of fictional films. In order to create and sustain the illusion of a self-contained fictional world onscreen, film characters, as a rule, do not look directly into the camera, precisely to avoid the direct addressing of the viewer which would establish a generically unconventional immediate interaction between the viewers and the characters.

The textual metafunction, finally, serves to compose ideational and interpersonal meanings in both their representational (image-internal), and interactive (image-external) dimensions into coherent visual texts. The textual repertoire of visual communication offers different options of information organization in order to allow the realization of different textual meanings. Choices are to be made, for example, with respect to the information value, salience and framing of the objects depicted. With respect to information value, the options lie in structuring along the horizontal and the vertical axes: Left-right relationships between objects (horizontal axis) express the textual meanings of 'given' and 'new': The element(s) on the left are treated as given, i.e. as something already familiar and accepted by the viewer. The element(s) to the right of the picture are 'new'. The 'new' can be regarded as the core of the message: It usually represents something which is not yet known to the viewer, to which he/she must therefore pay particular attention.

The opposition between the top and the bottom (vertical axis) of a picture is captured by the notions of 'ideal' and 'real', respectively. Top position in a picture expresses the meaning of 'most important'. Elements at the top represent idealized representations of topics in the sense of a generalized and essential meaning, while elements located at the bottom of the picture present literally more down-to-earth, specific and practical information. In advertisements, the top-bottom/ideal-real partitioning is especially obvious. See example (5.5) below. The black line separates top from bottom, i.e. 'ideal' – "Beautiful Skin the Fenjal way" – from 'real' information, which provides practical information concerning the line of Fenjal skin care products.

(5.5)



The same principles of information organization for the expression of ideational, interpersonal and textual meanings are operative in the visual structure of films. Example (5.7) below shows a rough outline of the structural patterning of one film frame, indicating left-right, top-bottom relations as well as interactive processes between the participants. The participants endowed with "given" and "real" information are related to the object expressing "new", "ideal" information in a process of watching. The woman depicted in the billboard, furthermore, by virtue

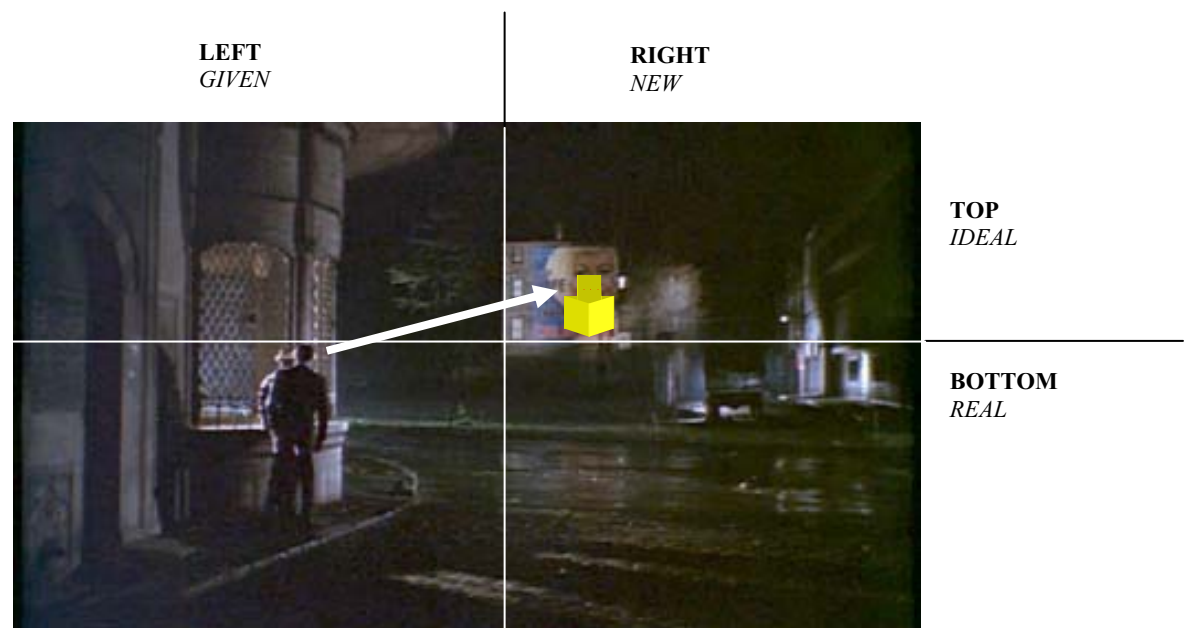


of her eyeline, is perceived as directly gazing outside the picture at the viewer, engaging him/her in an interpersonal relation. The house with the billboard is thus singled out as the element with the highest informational value in the picture. Its color representation additionally makes it stand out as salient. As a whole, the street scene depicted has a high visual modality. Choice of color representation, depth of perspective and the representation of pictorial detail are akin to photographic realism, facilitating viewer involvement in the depicted action. (5.6) first shows the picture without structural mark-up.

(5.6)



(5.7) The structural composition of a film frame





culture-specific because the speaker's choice of linguistic means is determined by culturally-defined patterns of communicative conventions and preferences. Something similar applies to visual communication. The structural principles of visual representation outlined above are specific to Western-European/North American cultures. The prevailing structural options and conventions of use have achieved comparative unity and spread across regional and national boundaries through their large scale reproduction and distribution through globally operating mass media. However, despite their global spread, these structures of representation are at their core specific to Western conventions of visual design, as they have developed in the course of the past 500 years (Kress & van Leeuwen 1996).

Kress & van Leeuwen (1996) also discuss different conventions and preferences of visual representation found in Asian cultures and Byzantine art. One reason for the intercultural differences in visual representation is, they claim, different conventions in the directionality of writing. Cross-cultural differences in preferences and conventions of visual communication ultimately mean that – somewhat despite its outward appearance – visual communication is not culturally neutral, transparent and universally understood, but specific to the cultural contexts of its production and intended reception.

Yet, if we compare Western-style visual communication in global mass-medial distribution to the status of the English language as a global lingua franca, there is also the possibility that Western-style visual communication – given long-time exposure – can condition non-native recipients into the foreign reading habits. Since the choice of representational structures is seen as the selection of a certain view of reality, representing higher-level cultural (ideological) meanings, a change in reading habits in a community might be considered as having consequences for the higher-level social organization of the viewers' cultural context.

The cultural specificity of visual communication does not play a role in this study, since the English and German language communities under investigation here can be said to belong to the same 'visual community'. They share basically the same visual culture.

### 5.1.3 Theoretical concepts and structural principles of film

In this section, an outline of film as a formal sign system and of the principles of film form and filmic narrative will be given.

Film differs from the form of visual communication described above because it is a dynamic form. This dynamic is responsible for a subject development which unfolds over time, and a particular form of reception by the viewer which is defined by his/her ongoing activity of forming hypotheses and drawing inferences on the basis of textual cues. In this, film reception is similar to reading or the listening comprehension of spoken language. Film also differs from language use because it is a semiotic system which employs other – extrafilmic – sign systems to communicate meaning. Notwithstanding these differences, it will be shown that film is organized along principles and theoretical notions comparable to those of language and visual representation – the most relevant being meaning, function and information structuring. Even though there is no clear one-to-one mapping of the uses of these terms across language, visual representation and film, it will be

shown that the theoretical approaches to the systems of language, visual communication and film followed here are similar enough to allow their integration into a unified analytical framework.

The section is structured as follows: First because film can be considered from different perspectives, the differences between the views of film as medium, sign system and text will be explicated. Then, the major structural principles of film as sign system and text will be introduced. In this context, the attempt to apply linguistic categories to the theorization and analysis of film will also be touched upon. The aim is to show that a film text – similar to verbal and visual texts – is a particular choice of elements from the whole of the film system related by certain principles in order to communicate certain contents and meanings. In the process of meaning construction, the film makes use of other sign systems – among these are language and visual representation.

### 5.1.3.1 Film as medium, sign system and text

Film can theoretically and analytically be considered from the perspectives of medium, sign system and text (cf. Borstnar et al. 2002): Film as medium can be described as a processing system for information and signs. It is characterized by special conditions of production, exhibition, distribution and reception of the finished product. Film can also be seen as a sign system. From this perspective film is a coherent whole of interdependent elements. The relationships between them are governed by specific formal and functional principles. The view of film as text, finally, refers to a particular cohesive and coherent formation of signs chosen from the overall film system, related to each other by structural principles, produced and exhibited by and received through the film medium.

As indicated above, the systems of film and visual representation share one central characteristic: They are sign systems which utilize and represent other sign systems such as language, body language, kinesics and proxemics. Film, however, goes one step further and also utilizes the structures of visual representation (cf. examples (5.3) and (5.7) above). In a sense, film is universally exploiting all conceivable extrafilmic sign systems. Borstnar et al. (2002) describe film's systematic use of other sign systems in the following way:

Was ist das besondere am Medium Film? Der Film ist in der Lage, außerfilmische Zeichensysteme zu repräsentieren, d.h. sich ihrer zu bedienen, sie zu transformieren oder in ein neues Bedeutungsgefüge zu stellen. Die Leistung des Films besteht darin, dass er etwas, das für sich etwas bedeutet auf eine bedeutende Art und Weise kommuniziert. (Borstnar et al. 2002: 12, my emphasis)

Hence, the meaning of a single film text arises out of the combination of meaningful elements from the film system itself in combination with elements which are already endowed with meaning by virtue of their membership in other semiotic systems.

The ways in which the film system establishes meaning in a single film text exemplar has been described by different theories from a variety of disciplines. In the following section, the theory of film followed in this study will be outlined and its compatibility with systemic-functional theory will be discussed. Particular

attention will be paid to the constituent parts of the film system and their contribution to the construction of the meaning of a film text.

### 5.1.3.2 Theoretical approaches to film and structural principles of the film system and filmic narrative

#### 5.1.3.2.1 Approaches to film theory

Interest in film as a semiotic system originated in European linguistics in the 1920s and 1930s. In fact, up to the present, film has regularly been described in analogy to language. In contrast to that, another – genuinely film theoretical – view developed in the 1980s. The latter understands film as an autonomous system which makes use of already existent extrafilmic systems and structural principles but nevertheless has a definite systemic shape of its own and idiosyncratic principles of structure. This is also the view of film which is adopted in the present thesis. Before turning to a detailed description of the system and structure of film according to this theory, I will briefly summarize the history of the main linguistic approaches to film.

In the 1930s, Russian Formalists like Jan Mukařovský were the first to exploit the analogies between language and film in a detailed way. Films were thought to have a linguistic basis in the form of a grammar comparable to that of language. In particular, the idea of a filmic syntax was put forth: Sequences of shots were seen as filmic "phrases" and "sentences" (Bordwell 1985). In the actual studies, however, analytical interest was usually restricted to less complex and more isolated concepts, such as parallelism or metaphor, and no analysis of whole film texts was attempted. On the whole, at that time, the application of linguistic categories to film remained fragmentary and no comprehensive model of the film system in analogy to language was constructed.

In the 1960s and 1970s, structuralist linguistics made explicit the idea of language as the primary modeling system for all other meaning systems (cf. for example Barthes 1967; Jakobson 1971). Accordingly, it was thought to be possible to describe a film in terms of linguistic categories. French structuralist theory, then, was the first linguistic theory to be used systematically in semiological analyses of film (cf. for example MacCabe 1976). Another prominent linguistically-oriented approach to film was put forth by Christian Metz (1974). In contrast to the structuralist-semiological approach, Metz advocates only a partial overlap between natural language and the system of film. His work on cinematic narrative is influenced by Emile Benveniste's linguistic concept of "enunciation" (Benveniste 1966, 1974), and consequently more concerned with film as discourse than the systematic and structural categories of film form worked out according to specific linguistic theories. Apparently, on the higher level of discourse, the systems of language and film are more easily aligned and the commonalities between them are more clearly visible.<sup>57</sup> In 1965 Metz states:

[T]he cinema is a language, infinitely different from language, but a language nevertheless, since it has in common with language the unique and fundamental property of communicating a sense. (Metz 1972: 75)

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<sup>57</sup> For the reverse view of commonalities on the deep-structural levels see Branigan's (1985) approach to film which is influenced by Transformational Grammar.

It is precisely the fact that film and language only share the very basic aspect of communication, and that film furthermore lacks equivalents for the most basic aspects of verbal activity such as person, tense, mood and deixis which has led to a different view of film as semiotic system – one which does not rely on analogies with linguistics. Bordwell's (1985, 1989) theory of cinematic narrative and meaning construction in film is based on the perceptual and cognitive aspects of film viewing. The viewer perceives information presented in the film, then cognitively processes these and comes up with hypotheses and inferences regarding the meaning of the particular depicted element, its significance for the narrative as a whole, and the meaning of the narrative as a whole. For the present purposes, the perceptual part of this theory is especially interesting, since what the perceptual form of the film text consists of is, of course, verbal and visual information. This 'material' form a film text takes is determined by the system of film and its formal principles.

Bordwell's approach to film as system and text will be presented in more detail because the categories he proposes can be meaningfully combined with the systemic-functional approaches to language and visual communication outlined above. This allows their integration into the model of film text analysis to be presented in Chapter 6. The concepts of film system and film text will be addressed with special focus on the viewer's activity in terms of emotional involvement and meaning construction, the structural principles of film form, the structural principles of narrative construction and the categories of information transmission to the viewer.

#### **5.1.3.2.2 The film system**

A film is not a random collection of elements. A film has 'form', and this form is established by the elements it consists of and the principled relationships which exist between these elements. Both the elements and the principles which determine the relations between them belong to the overall system of film. The film system is thus a unified set of related, interdependent elements and principles which govern the possible relationships between the single elements.

#### **5.1.3.2.3 The viewer's activity**

Crucial to Bordwell's theory of film is the centrality of the viewer's activity. Next to the formal construction of the film with respect to the ordering and presentation of information which will be presented below (5.1.3.2.4), hypothesized mental processes in the viewer are seen as the second constitutive part of meaning construction in film. Hence, the comprehension of a film is dependent on visually and aurally perceptible information and assumed procedures of mental processing by the viewer: Information presented in the film cues the viewer to frame hypotheses and to draw inferences. These processes induce the viewer to mentally co-construct the story of the film (Bordwell & Thompson 1997). These viewer activities are understood as learned reaction-behavior based on a person's empirical experience of life in general and artistic form in particular. More precisely, in his/her framing of hypotheses and drawing inferences, the viewer will be guided by general formal expectations – such as, for instance, the chronological progression of events – known conventions of artistic form which

derive from his/her general knowledge of text types and genres, and prior experience with particular film forms.<sup>58</sup>

The mental processing of textual information on the basis of experience, conventions and expectations triggers viewer involvement in the film which takes the form of emotional reactions and active meaning construction on multiple levels of abstraction (Bordwell 1989). Since 'involvement' and 'meaning' are also important categories in the systemic-functional theories of language and visual communication, the particular understanding of "emotion" and "meaning" as a means of viewer involvement in the context of film theory needs to be addressed in more detail.

Emotional reactions to film are closely bound up with the dynamic progression of events, i.e. the flow of information in film. Two types of emotional involvement can be distinguished. Emotions represented in the film, i.e. by characters, belong to the film's formal system. They simultaneously serve the development of the action and act as a textual cue for viewer empathy.

A different kind of viewer involvement elicitation works along viewer expectations about the progression of events. More than a simple one-to-one emphatic sharing of the onscreen character's feelings, expectations about 'what happens next?' lie at the basis of the viewer's emotional involvement in a film.<sup>59</sup> Delayed fulfillment of expectations creates suspense and may produce anxiety or sympathy; gratified expectations may produce a feeling of satisfaction or relief; cheated expectations may produce puzzlement, annoyance or keener interest in the action. Cheated expectations may also lead to a re-evaluation of given information and a new attempt to decode its 'true' meaning for the overall narration.

Bordwell's notion of meaning construction is based on a comparatively strong reception-based understanding of meaning. This is different from the text-based understanding of meaning in systemic-functional theory. According to Bordwell, the comprehension of a film text does not arise out of the decoding of inherently meaningful structures in the text, but rather from the viewer's active attribution of meaning to the objects and events depicted in the film.

Films 'have' meaning because we attribute meanings to them. We cannot therefore regard meaning as a simple product to be extracted from the film. Our minds will probe an artwork for significance at several levels seeking [...] meanings. (Bordwell & Thompson 1997: 76)

According to this view, a viewer will as a rule construct four types of meaning: referential, explicit, implicit and symptomatic:

The referential meaning of a film establishes the film's subject matter. The film refers to the 'concrete world', i.e. things or places in the extrafilmic reality which are already invested with significance. Meaning construction depends on the viewer's ability to identify and relate the information in the film to the extrafilmic reality.

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<sup>58</sup> For a detailed account of how life experience and previous experience of artistic forms work together in the viewers' construction of meaning, see Elam (1980). He is concerned with theater and drama, but his description of the meaning making processes is also largely applicable to film.

<sup>59</sup> Actually, a one-to-one sharing of onscreen emotion may even be the inappropriate reaction. For instance, a sad mood or feelings of terror and pain depicted onscreen may fulfill humorous functions in comedies.

Explicit meaning involves a degree of abstraction from the extrafilmic world. It does not refer to the reality of the viewer, but is solely defined by the context of narration. The viewer presupposes that the film openly communicates what it 'means' and how it is to be understood. Thus, he/she actively seeks for explicit cues which indicate this meaning. In contrast, implicit meaning involves a degree of abstraction from the objects and events in the film. The film or certain elements of the film are taken to stand symbolically for a particular extrafilmic theme, such as for example, 'adolescence' or 'conflict'. Implicit meanings arise out of the viewer's interpretation of information provided in the film on the basis of extrafilmic knowledge about these themes.

Symptomatic meaning is closely related to implicit meaning. Its construction is also based on extrafilmic knowledge. A film is assumed to refer to values and attitudes characteristic of the social and cultural contexts of the film's production and intended reception. The viewer thus attributes to the film social and cultural meanings on the basis of his/her extrafilmic knowledge of the contexts of production and intended reception. Symptomatic meanings are ultimately to be considered ideological meanings, since they originate in the viewers' socio-culturally conditioned beliefs about the world.

At first sight, the notions of emotion and meaning construction do not seem to bear strong resemblance with the forms of meaning and viewer involvement advocated in the theories of visual communication and language introduced in the previous sections. However, the four types of meaning can be related to the systemic-functional concept of the ideational component of meaning in a text. And the viewer's emotional reactions can be equated to the interpersonal relationship between represented participants and the viewer described for visual communication in section 5.1.2 above.

The central difference between Bordwell's theory of meaning construction in film and systemic-functional theory lies in the question whether viewers attribute meaning to the text or decode meanings from the text. As will be shown, regarding a film text as inherently meaningful (the view adopted by systemic-functional theory) instead of a system of cues which refer meaning making to a place outside the text (i.e. the viewer's mind) involves only a slight shift in theoretical perspective. To facilitate this shift, the concept of meaning in film has to be reconsidered in terms of being text-based rather than the result of the viewer's activity.

First, regarding the different types of meaning constructed by the viewer, it has to be stressed that the cues which allow for the attribution of referential, explicit, implicit and symptomatic meanings are, of course, textual phenomena. The cues for meaning construction always must be either verbal or visual information present in the text. From the systemic-functional perspective which assumes both visual and linguistic forms to be endowed with meaning and functions, and the general idea that film is a sign system which utilizes other sign systems – i.e. systems of elements already invested with meaning – it seems illogical to suggest that textual cues in film do not carry meanings. If the visual and the verbal elements in a film text have meaning, it appears equally problematic to suggest that the viewer does not decode these meanings on the basis of his/her filmic and extrafilmic contextual knowledge.<sup>60</sup>

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<sup>60</sup> A similar point is made by Chatman (1990).



The view of meaning as inherent in the elements of a film text would still allow the construction of different types of meaning akin to Bordwell's referential, explicit, implicit and symptomatic ones. In linguistics and visual semiotics, verbal as well as visual information are generally assumed to have denotative and connotative meanings, which roughly would equal "referential" and "explicit" meaning on the one hand, and "implicit" and "symptomatic" meaning on the other.

The same is true for the emotional involvement of the viewer. Again, the triggers for viewer empathy with the onscreen characters and the anticipation of the course of the story must be either verbal or visual information present in the text.

Finally, from the point of view of the communication between producers and audience via films, the notion of the viewer's attributing meaning to the elements in the film text also appears as problematic: In a simplified manner, the communicative process in which film texts are involved can be described as follows: The film producer is the sender/author, the film is the message and the viewer is the receiver/addressee. From the vantage point of the film producer, the idea of the viewer's attribution of meanings instead of his/her context-based decoding of meanings encoded in the text would make the outcome of the communicative process almost completely unpredictable. It has to be assumed that film producers, similar to all other text producers, use the representational and structural possibilities of the sign systems at hand with the intention of communicating specific meanings. They rely on the presupposition that the addressees will make the intended inferences, decode the information provided properly, and arrive at the meaning the text produces wished to convey. To achieve this, it is crucial that the addressees, first, understand the concrete and abstract dimensions of the subject matter referred to, and secondly, that the addressees are interested and attentive, i.e. involved in the text. Nothing but elements present in the text can fulfill these functions.

What emerges from this discussion is a view of the information provided in a film text as serving either the involvement-oriented or the referentially-oriented function characterizing the communicative process in film. In other words, the visual and verbal elements in a film text can be seen as expressing involvement-oriented and/or referential, explicit, implicit and symptomatic meanings. This function-oriented and text-based view of meaning aligns meaning in film with the understanding of meaning put forth for language and visual communication. Pushing the analogy between language and visual communication one step further, involvement-oriented meanings would coincide with interpersonal meanings and referential, explicit, implicit, symptomatic meanings would correspond to ideational meanings. A summary of the integration of functions and meanings across language, visual representation and film will be provided in section 5.2.

The range of meanings an element in film can take at all are restricted by its redundancy relations with other elements. These relations of predictable co-occurrence are governed by the principles of film form which will be discussed in the next section.

#### 5.1.3.2.4 Principles of film form

The concrete, perceptible textual basis of film form – i.e. what is heard and seen onscreen – is realized by acoustic (including verbal) and visual elements. These are related to each other by five general formal principles: Function, similarity and repetition, difference and variation, development, and unity and disunity. In essence, these five principles can be seen as textual means which serve to establish the basic textual pattern of a film text.

All verbal or visual elements in a film have a stylistic or narrative function in the sense that they motivate subsequent action. A visual or verbal element occurs in a specific position because in that particular position it functions to trigger a following event or to explain a previous event. Similarity and repetition and difference and variation are clines according to which the events and participants are arranged in mutually identificatory relationships. Both clines serve the viewer's identification of particular events and participants through differentiation or analogy. Development refers to the specific patterning of similar and differing elements in the event structure of the film. Unity and disunity are categories for the realization of the degrees of coherence of the film text. A film can either be unified or display systematic gaps in coherence for dramatic effect.

The description of these principles of film form reveals that every element in a film text occurs at the place it does in order to fulfill a specific function for the textual structuring of the film. In other words, verbal and visual elements are patterned according to the principles of film form to give the film text its particular shape. Next to expressing interpersonal and ideational meanings, visual and verbal elements, accordingly, have to be seen as serving a text-forming function. They express meanings which establish textual structure. This kind of text-forming through repetition, variation, differentiation and the ordering of elements is comparable to the textual metafunction in language and visual communication which is likewise concerned with the organization of elements into cohesive and coherent text.

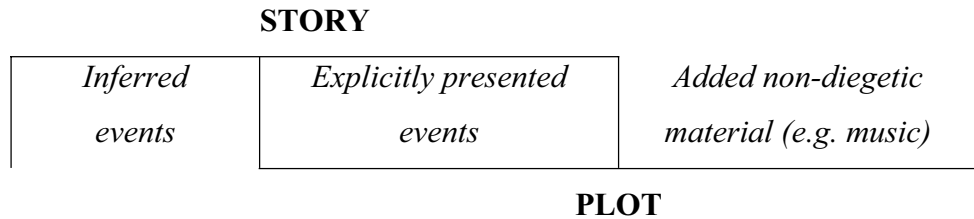
Film provides two more parameters which determine the textual form of the individual film text: The "principles of narrative construction" and the "categories of information transmission" define textual structure of a film in more delicate ways.

#### 5.1.3.2.5 Principles of narrative construction

A formal distinction can be made between narrative and non-narrative films. Feature films, such as the ones investigated in this study, are narrative films. A narrative film is defined as consisting of "a chain of events in cause and effect relationships which occur in time and space" (Bordwell & Thompson 1997: 90). Narrative construction is a subsystem of the overall film system, consisting of the elements style, story and plot whose interrelationships are determined by the structural principles of causality, time and space.

Style in this context refers to the technical possibilities of the film medium to present information. Typical means for realizing style are, for example, different types of perspective, realized by camera position and angle, and editing. The filmic concepts of story and plot are closely related to those put forth in literary theory, for instance by Rimmon-Kenan (1983). The story of a film is the set of all the events in a narrative, both the explicitly presented ones, and the ones the viewer only infers on the basis of the information explicitly given. The term plot

describes everything visibly and audibly present which may affect the viewer's understanding. The relation between plot and story can be presented in the form of the following diagram:



**Figure 9** The relation between *story* and *plot* (adapted from Bordwell & Thompson 1997: 93).

The interrelationships between plot, story and style are realized by the structural principles of cause and effect, time and space. Cause and effect, or causality, is the principle by which events of the story are related to each other. It establishes the narrative logic. Time refers to the temporal order and duration of the events in the story. Space refers to the places where the events which are presented and implied in story and plot take place.

#### 5.1.3.2.6 Categories of information transmission

The film narrative is further characterized by specific strategies of narration which are concerned with the transmission of information to the viewer. In a very basic sense, this means that of the whole of the visual and verbal information present in a film text, some information will be intentionally foregrounded and some information will be relegated to the backgrounded – according to the particular dramatic strategy pursued. This serves to focus the viewer's attention and to orient him/her towards the foregrounded information.

In contrast to the principles of film form and narrative construction, the categories of information transmission – knowledge, self-consciousness and communicativeness – do not belong to the formal system of film. They are rather analytical categories which help to characterize the strategies of information distribution employed in a film's narration (Bordwell 1985). Knowledge, self-consciousness and communicativeness reflect how information about time, space, and cause and effect relations are arranged in the text in order to guide and control the viewer's processes of meaning construction. In essence, these categories describe for film what in text linguistics is captured by the terms of author-addressee interaction and addressee orientation (cf. for example Thompson & Thetela 1995; Böttger & Probst 2000; Thompson & Zhou 2001 for case studies). Because knowledge, self-consciousness and communicativeness figure as categories in the analytical model for language use in film, a detailed description will be deferred to the presentation of the model in Chapter 6.

To sum up, a film text is a formation of meaningful elements taken from the overall film system, whose form is determined by the formal principles of function, similarity and repetition, difference and variation, development, unity and disunity. The subsystem of narrative construction weaves into this form a

narrative – a particular realization of plot, story and style defined by relations of cause and effect, temporal order, duration and frequency, and settings. The strategies of transmitting information to the viewer can be characterized along the lines of knowledge, self-consciousness and communicativeness. It is the quality of these three latter categories which determines the kind of meanings which can be decoded from the text at any given point of the unfolding of the narrative. The meanings encoded in a film text by linguistic and visual means will serve the functions of involving the viewer emotionally into the film and of expressing the subject matter of the film.

The following section discusses the theoretical concepts and the structural principles of language, visual communication and film – as they have been described in this and the previous sections – with respect to their theoretical and analytical compatibility in a systemic-functional framework.

## 5.2 Language, visual communication and film in an extended systemic-functional framework

The commonalities between language, visual communication and film lie on several levels. On the most general level, all three are semiotic systems, and all of them are employed in processes of communication. Crucial for their integration in the systemic-functionally-oriented model of analysis for multimodal texts to be presented in this thesis is a unified concept of function, meaning and context. Therefore, in this section, language, visual communication and film will be brought together in terms of metafunctional diversification and meaning, stratification and instantiation.

Since the approaches to language and visual communication presented above are both based on systemic-functional theory, their theoretical tenets and structural principles are very similar (cf. sections 5.1.1 and 5.1.2 above). What remains to be done, then, is to align film with them. As the discussion of the film system in the previous section has shown, this is mainly a matter of shifts in terminology because film also employs the notion of function, distinguishes different types of meaning and a range of principles for information structuring and guiding the viewer to a particular interpretation of the text.

Metafunctional diversification: The basic idea to start from is that the visual and linguistic semiotic systems are different resources for expressing the same communicative functions: First, construing experience of the world outside the semiotic system, i.e. expressing 'content', and secondly, enacting social processes between the participants in the communicative situation, i.e. realizing interpersonal relations. A third function serves to organize the elements which express the first two into cohesive and coherent text – according to the principles of textual composition available in each of the sign systems. In systemic-functional theory, these three functions are labeled: ideational, interpersonal and textual metafunctions. They express ideational, i.e. content-oriented, interpersonal, i.e. interpersonally-oriented, and textual, i.e. information structure-oriented, meanings in texts.

As mentioned above, film is a semiotic system which employs extrafilmic semiotic systems, and among these are language and visual communication. That

means, everything that is visually and verbally presented in a film expresses the three metafunctions. In other words, all three metafunctions are expressed twice in a film text – once by visual and once by linguistics means.<sup>61</sup> Moreover, as film itself is a semiotic system used in communicative processes, it likewise expresses the ideational, interpersonal and textual metafunctions.

Thus, the metafunctional diversification of film is comparatively complex: The various verbal component parts of an utterance in the film, carrying ideational and interpersonal meanings, are linked with each other through the textual metafunction of language. In the formation of a so-called "visual proposition" (Kress & van Leeuwen 1992: 98), the various visual component parts of the image – equally realizing ideational and interpersonal meanings – are arranged with respect to each other by the textual metafunction of visual communication. Verbal and visual information co-occurring in the film are linked with each other through the interaction between the textual functions of language and visual communication. Finally, the film itself realizes its textual metafunction through the principles of film form, narrative construction and information transmission in order to realize a particular textual organization of the ideational and interpersonal meanings into one cohesive and coherent film text.

Stratification: Language and visual communication have been described as stratified resources. They bridge from cultural meanings (social hierarchies, role relationships, social processes) to their expression in sound, writing and images. It follows that every linguistic or visual element in a text encodes meanings which range from expressing semantic relations, characteristics of the situative context of the communicative situation to ultimately higher-level meanings of the cultural context.

In film, a structural analogy to stratification can be found in the different types of meaning (referential, explicit, implicit, symptomatic) posited for the film text. As was shown above, it is possible to assign each of these to two broader and to an extent more universal categories of denotative and connotative meanings. Denotative meaning would then consist of referential and explicit meanings while connotative meaning would consist of implicit and symptomatic meaning. The connotative meanings could be related to the more abstract, contextual, higher-level cultural meanings, while denotative meanings could be regarded as expressing meanings relevant to the more concrete level of discourse semantics and the representation of the extrafilmic reality. In this way, film would appear as a stratified system like language and visual communication, where the elements in the text encode meanings on different levels of abstraction: An element in a film thus has denotative meaning which contributes to the concrete meaning of the text. The meaning of this element can also be considered with respect to its extratextual connotations, which serve to encode a particular social and cultural context in the film.

Instantiation: Within the systemic-functional paradigm, visual and verbal texts are considered as instantiations of the semiotic systems according to the requirements of a particular situational context. A text, thus, represents choice. It is a particular

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<sup>61</sup> With respect to dramatic texts, Barthes (1964) refers to this double issuing of metafunctions as the semiotic or informational "density of signs" (quoted in Elam 1980: 19).

configuration of meanings taken from the total set of options that constitute the meaning potential characteristic of a particular type of communicative situation.

The same applies to film. A film text is a selection of elements taken from the overall film system, related to each other by certain actualizations of principles of film form, narration and information transmission. The choice of elements and the choice of how the structural principles work to organize the elements have ultimately to be seen as determined by the text producers' communicative goal (and the generic conventions in operation).

The purpose of this section was to reconcile the theoretical and structural principles of language, visual communication and film with the three main concepts of systemic-functional theory, namely, metafunctional diversification, stratification and instantiation. These three concepts are what makes systemic-functional theory particularly useful for the investigation of language use in film and also for the particular perspective on film dialogue and its translated versions which will be investigated here: Instantiation foregrounds the importance of choice in communicative behavior. It allows the theoretical stance that speakers and text producers choose linguistic and visual elements and structures according to their present communicative aim. This choice reverberates with the particular realization of the metafunctions in the text and it influences the expression of the more abstract strata of situation and culture in the text.

Regarding language use in film, it is important to be aware of the fact that the visual and the verbal systems interact. The question of choice in linguistic and visual respects does not only relate to what meanings are expressed by verbal and visual means. Choosing linguistic and visual elements, crucially, also means to choose which verbal element to combine with which visual element. There is no inherent, compulsory relation between verbal and visual information. The combination of visual and verbal elements is a matter of choice. Consequently, the functions that combinations of visual and verbal information serve, and the meanings that arise from them, have to be considered as intentional and indicative of certain communicative conventions and a certain communicative aim.

In the process of film translation, the component parts of the film text are separated, the linguistic one is exchanged, and a new combination of verbal and visual information is established. Since the new verbal information is also a product of linguistic choice, according to the requirements of the communicative situation as perceived by the target language text producers, it is possible that the overall function of the film text is varied, and different situational and cultural contextual meanings are encoded. This will become clearer in the analysis of a film text and its translation in Chapter 8.

In the following section, English and German approaches to register, text and discourse analysis will be described. In my model of analysis, they serve as the main analytical tools with which the analysis of the verbal part of film texts is carried out.

### 5.3 English and German approaches to register, text and discourse analysis

This section introduces the major linguistic approaches relevant to the process of the analysis of verbal information in film. Section 5.1.3.2 above already provided a detailed overview of the analytical inventory which can be applied to the analysis of visual information in film. An analogous inventory is necessary for the detailed description and analysis of the form and function of verbal information.

The model of analysis to be presented in the present thesis is essentially non-language and non-culture-specific. Since it relies on the assumption that all communication expresses the universal metafunctions, the language- and culture-specific differences lie in how languages express these metafunctions. Accordingly, for the investigation of English film texts and their German-translated versions, the analytical model only has to be 'charged' with an inventory of functional descriptions of English and German. Next to the insights of contrastive linguistics, English and German language typology and contrastive pragmatics, which point to the systematic differences between English and German and to the differences in the conventions of language use (cf. section 4.3 above), the results of monolingual English and German text, discourse and register analyses will be employed.

The analytical model can account for language use in film, that is, the use of linguistic means in communicative situations where the participants aim to realize particular, individual communicative goals. The view of language adopted here, accordingly, is one of language as 'a means of doing' (Halliday & Hasan 1989). The choice of linguistic features in a particular communicative situation is seen as oriented towards the immediate communicative purposes of the participants. Linguistic elements will be selected because they fulfill particular functions in pursuing the communicative goals. It follows that the linguistic theories and methods with which language use in film is investigated also need to be oriented towards the functions linguistic features have in communication.

The main approaches beside Systemic Functional Linguistics are *Funktionale Pragmatik* ('functional pragmatics' (Ehlich 1996), for an overview see Brünner & Graefen 1994), discourse and conversation analysis according to Edmondson (1981) and Edmondson & House (1981), and Biber's (1988, 1995) register analysis. All of these are characterized by a functional perspective on linguistic forms and language use.

The systemic-functional descriptions for English provided by Systemic Functional Linguistics (especially Halliday 1995; Martin 1992; Halliday & Hasan 1976, 1989) are for the most part also applicable to German (see Steiner & Ramm 1995 and Teich 1999, 2001 for commonalities and differences). In addition, the detailed formal and functional descriptions provided by the school of *Funktionale Pragmatik* for a wide range of German linguistic features will also be drawn upon for the linguistic analysis of the German texts.<sup>62</sup> The functional pragmatic theory and practice follows an action theoretical concept of language and takes a purpose-oriented stance on communication which is comparable to the systemic-functional concept of 'language as a means of doing'.

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<sup>62</sup> See e.g. the contributions to Redder & Rehbein (1999) and Hoffmann (2003).

Language use in fictional films typically takes the form of conversation. In order to assess the structure of conversational interaction in film texts (and its realization in translation), the basic structural and functional principles of Edmondson's (1981) model for the analysis of spoken discourse will be applied. It is true that spoken discourse, or conversation in film differs from spontaneous speech in that it is prefabricated and fictional.<sup>63</sup> The systematic and functional differences between spontaneous speech and dramatic dialogue, however, are by no means so great as to make the application of analytical categories for spoken discourse and conversation unjustified or unproductive.<sup>64</sup>

The structure of conversational interaction proposed by Edmondson is derived from English interactions, but it also has been applied in contrastive cross-linguistic studies of communicative behavior of English and German native speakers (cf. House 1979, 1982, 1982a, 1982b, 1984, 1989; House & Kasper 1981). Because this investigation of film texts and their translations is concerned with the extent to which the German translations display the linguistic expression of communicative conventions of the English source texts, the categories of Edmondson's model cannot only serve to describe the conversational structure of the English source texts, but also as a *tertium comparationis*<sup>65</sup> along which the convergence of the German translations with the English source texts' structure of conversational interaction can be assessed.

I will briefly present the relevant structural principles of spoken discourse posited by Edmondson. He starts from the assumption that conversation is essentially a form of social interaction employing linguistic means. Interacting members of a language community have a social as well as a communicative competence which they apply in conversation. As participants in conversations, they are oriented towards gaining their conversational goals, and in the pursuit of these goals they employ particular "conversational strategies". Edmondson understands conversational strategies not as the active and conscious 'cloaking or disguising' of one's 'true' communicative purposes (p. 137), or the deliberate use of language, but rather as conventionalized patterns of communicative interaction in a language community which are routinely applied. Conversational strategies are thus seen as belonging to the basic make-up of language use in a language community. Implied in this conception of conversational strategy is the assumption that conversational strategies are language- and culture-specific. This is a notion within Edmondson's conception of discourse which is especially relevant for the purposes of this thesis because it is concerned with the commonalities and differences in language use across languages and cultures. Another important point Edmondson makes is that it is in the implementation of conversational strategies that creative language use is to be found. This coincides obviously with the centrality of the notion of linguistic choice put forth by systemic-functional theory which is also an important concept in this study.

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<sup>63</sup> See Chapter 6 for a discussion of the specific properties of dramatic discourse.

<sup>64</sup> See e.g. Burton (1980) and Herman (1995) for applications of discourse analytical approaches to dramatic discourse.

<sup>65</sup> In this case and throughout this thesis the term "tertium comparationis" refers to theory-based, objectively fixed and empirically established analytical and descriptive categories by means of which two or more things can be compared with each other in a principled way. It does not refer to the assumption of any kind of given metalanguage or "lingua universalis" as, for example, put forth by Koschmieder (1965), and it is not comparable to a semantic concept in the sense of *das Gemeinte* (cf. Coseriu 1970).



In the negotiation of a certain conversational topic, the participants are interested in reaching a point of agreement from which the conversation may proceed to new topics or come to a close. The conversational behavior of the participants is expressed by verbal and non-verbal acts. In his model, Edmondson, however, is solely concerned with the verbal part of conversational behavior. He makes a fundamental distinction between the interactional structure of a conversation and its realization in illocutionary acts<sup>66</sup> (see also Edmondson & House 1981). An utterance, thus, has a dual conversational function. The illocutionary act communicates the speaker's beliefs, feelings and attitudes with respect to a specific event or state of affairs. At the same time, the utterance has an "interactional value" (Edmondson & House 1981: 36) in that it plays a part in building up the ongoing conversation, being significant with respect to both the preceding and the ensuing discourse.

The interactional structure of a conversation can be described in the following way: The macro-unit of a conversation is called a communicative encounter. An encounter consists of opening, core and closing phases of talk between the participants. Each of these phases is further analytically broken down into exchanges, which consist of moves. It is at the level of moves that turn-taking occurs.<sup>67</sup> A move, i.e. a 'turn-at-talk', can be further broken down into individual acts. To illustrate this scheme, a structural description of the following utterance will be given:

(5.9)



male character: This looks particularly inviting.

The action portrays part of a conversational encounter between two participants. They are in the core phase of the conversation, that is, greetings have been exchanged and mutual introductions have been made. The participants are engaged in one particular conversational exchange. The conversational goal of the male character may be characterized as complimenting and befriending the female character. He initiates the exchange by making the first interactional move with an act which consists of one declarative clause, expressing his personal opinion in a statement.

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<sup>66</sup> See Edmondson (1981, section 6.3) for the inventory of illocutionary acts. See Cameron & Taylor (1987) for a critique of Edmondson's approach to illocutionary acts.

<sup>67</sup> For example, a typical "exchange" in an "opening phase" consists of two "moves" in which the participants greet each other.

One further approach to be made use of in the linguistic analysis of the verbal part of film texts, are Biber's (1988, 1995) dimensions of register variation. Like Edmondson's structures of conversational interaction, Biber's dimensions will be applied as a *tertium comparationis* – both for the analysis of the characteristic properties of the English and German film dialogue and for the analysis of verbal and visual cohesion and coherence.

The dimensions of register variation evolved out of the empirical investigation of large-scale corpora consisting of different spoken and written genres. The dimensions were originally established to capture the differences in linguistic choice in the spoken and the written medium, and their communicative effects on the participants involved. Without going deeper into Biber's distinction of linguistic choice in spoken and written registers, his findings can be summed up in the following way: Particular patterns of co-occurrence of linguistic items across genres and registers are indicative of certain types of text production and communicative purpose. The differences in types of text production and communicative purpose are captured by three major dimensions of linguistic variation. Linguistic choice may vary with respect to:

1. Informative vs. involved text production and communicative purpose
2. Explicit vs. situation-dependent reference
3. Abstract vs. non-abstract information.<sup>68</sup>

"Involved" text production and communicative purpose, "situation-dependent" reference and "non-abstract" information are associated with maximally interactive types of communication where speaker and hearer are co-present in the speech situation, such as in prototypical spoken discourse like face-to-face conversation. In contrast, linguistic choice expressing "informative", "explicit" and "abstract" language use is associated with communication types where the situations of production and reception are spatio-temporally separated, such as in prototypically written genres like academic conversation.<sup>69</sup>

For the purposes of this study, Biber's dimensions serve descriptive functions. They are used to characterize the linguistic choice in communicative encounters in terms of the degree of involvedness or informativeness, explicitness or situation-dependency, abstractness or non-abstractness expressed. It needs to be stressed that it is not the aim of the present study to assess the degree of authenticity and verisimilitude of film dialogue in comparison with naturally occurring conversation. Nevertheless, these dimensions, might – if deemed necessary – help to assess the degree of 'spokenness' of the dialogue. However, a second function of these dimensions is more important. Within my model of analysis, the dimensions are related to the characterization of the verbal and verbal-visual

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<sup>68</sup> Biber actually identifies three more dimensions – "narrative" vs. "non-narrative concerns", "on-line informational elaboration" and "overt expression of persuasion". According to Biber (1988: 160-164) these are only indirectly related to the distinction between spoken discourse and written texts.

<sup>69</sup> Similar dimensions for the linguistic differences between written and spoken language use have been set up by e.g. Tannen (1982), Chafe (1984) and Halliday (1989) for English, as well as, for example, by Koch & Österreicher (1989) for German, albeit not on the basis of empirical evidence from the investigation of large corpora. For a general theoretical account of the systematic differences between written and spoken language use see Ehlich (1994).

cohesion and coherence of the text. This will be explained in detail in Chapters 6 and 9.

To conclude, in this chapter, the major theoretical and structural principles of language, visual communication, film and the linguistic approaches which form the basis for the analysis of the forms and functions of language use in film were reviewed. The purpose was first, to introduce the systemic-functional theory of meaning construction with respect to language, visual communication and film. The second objective was to present the English and German linguistic approaches to text, discourse and register analysis which are relevant to a function-oriented and language-contrastive analysis of language use in film. This is the starting ground for the development of a model of analyzing language use in film in the following chapter, which will then be applied in the investigation of source text-induced language variation in film translations in Chapters 8 and 9.

## 6 A model for the qualitative analysis of language use in film

This chapter presents a model for the qualitative analysis of language use in film. It is structured as follows: Since the analytical model for language use in film is based on the model for text and translation analysis developed by House (House 1977/1981, 1997), I will start by giving a brief description of the categories, the analytical process and the applications of House's model. Because language use in visual media in general, and in film in particular, has often been claimed to have special linguistic and communicative properties which distinguish it from both written texts and naturally occurring speech (for example Biere & Hoberg 1996), I will then proceed to characterize language use in film by summarizing these properties: This will be done, first, in terms of the specific linguistic characteristics of film dialogue and, secondly, in terms of the specific communicative situation which characterizes the film medium (and other visual media). Finally, I will introduce the present model for the analysis of language use in film by critically recounting the analytical categories of House's model and explicating the shifts, changes, additions and omissions which have been made in order to establish a theoretically consistent, practical and meaningful model for the analysis of language use in film.

### 6.1 House's model for text and translation analysis

The model for text and translation analysis developed by House is based on systemic-functional theory, register linguistics, speech act theory, discourse analysis and text linguistics. It has been developed for the purposes of translation quality assessment. But its latest – and for the present purposes most relevant – application has been in English-German contrastive linguistics, in the context of a project on register and language variation through language contact in translation.<sup>70</sup> In this project, the model is implemented to test the cultural specificity of texts as expressed through the use of lexical and grammatical means. The analyses serve the investigation of the question of a material influence of the English language as a global lingua franca on the linguistic system and conventions of language use in other languages. House's model is employed to assess whether written texts in different European languages display 'native' or 'English' use of linguistic means, and whether they express 'native' or 'English' communicative preferences. In this research design, the model functions as an analytical grid in whose categories the linguistic realization of communicative behavior can be captured. At the same time – because the investigation involves a contrastive setting – the model serves as *tertium comparationis*, allowing detailed contrastive descriptions of the linguistic expression of communicative functions in the text genres and languages involved and assessments of language specific preferences for the linguistic realization of communicative functions.

A schematic presentation of House's model – originally named "Scheme for Analyzing and Comparing Original and Translation Texts" – is presented in Figure 10 below.

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<sup>70</sup> The project "Covert Translation – Verdecktes Übersetzen" has been carried out since 1999 inside the Research Center on Multilingualism at the University of Hamburg. See e.g. House (2002a), Baumgarten et al. (2004), Baumgarten & Probst (2004), Böttger (2004).

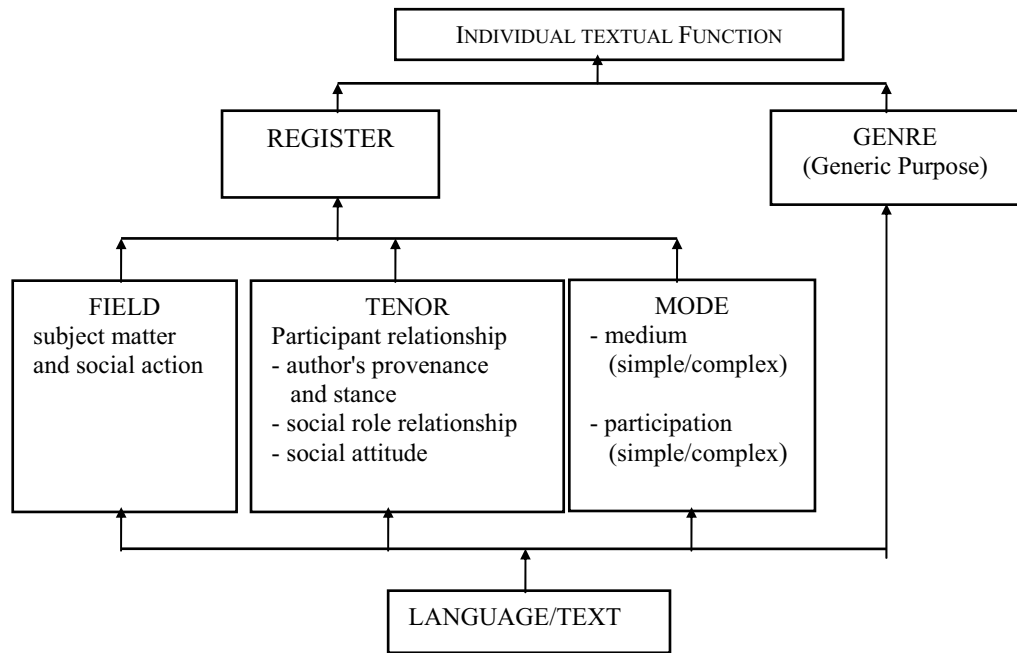


Figure 10 Schematic representation of House's model for text and translation analysis (House 1997).

After revisions – due to optimizing the process of analysis in the context of the contrastive investigation just mentioned, the model appears as displayed in Figure 11.

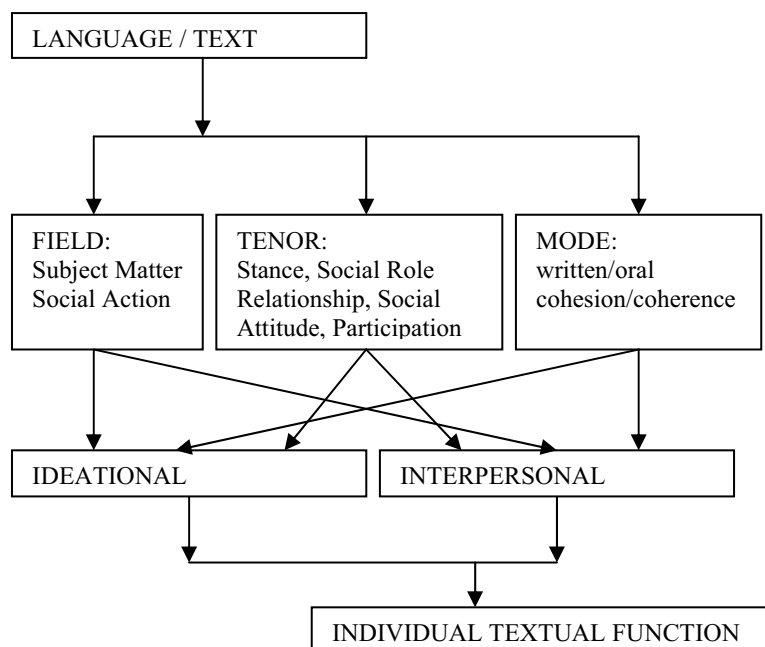


Figure 11 Revised version of House's model of text and translation analysis.

In what follows, the analytical categories and the process of analysis according to the revised version of the model will be outlined.

Following systemic-functional theory, House assumes that a text is an instantiation of the language system according to the conditions of the surrounding communicative situation. The features of the communicative situation will be reflected in the text in its particular use of linguistic means. In order to capture the communicative situation in analysis, the model makes use of the Hallidayan situational parameters of FIELD, TENOR and MODE.<sup>71</sup> FIELD, TENOR and MODE are extrinsic to language, but they correlate with the intrinsic metafunctional (ideational, interpersonal, textual) organization of language and text (Halliday 1978).

The dimension of FIELD captures the topic of the text and the setting of the social action primarily via lexical choice and the choice of process types for realizing the verb phrases. TENOR encapsulates in its subsections of *Stance*, *Social Role Relationship* and *Social Attitude* the relationship between the participants in the text in terms of the author's attitude towards the propositional content of his or her message and the situational context (i.e. the communicative task he or she is engaged in), the distribution of social power between author and addressee, and in terms of the social distance and the level of formality between them. MODE is reflected in the manner of text production. It is expressed in the way the text is 'made' as a text through the use of linguistic devices with respect to its relative 'writtenness' and 'spokenness' (cf. Biber 1988, 1995 and section 5.3 above), the cohesion within the text, and the coherence of the text as a whole.

The analysis of the linguistic expression of FIELD, TENOR and MODE involves the lexical, syntactic and textual levels of the text. On the basis of these findings, a textual profile is set up, which describes the individual weighting of the IDEATIONAL and INTERPERSONAL components of meaning in the text as expressed through the specific choice of lexicogrammatical means and culminates in a statement of the text's INDIVIDUAL TEXTUAL FUNCTION.

The textual profile can be compared with other textual profiles, particularly with that of a text's translation or with the profiles of comparable texts in other languages. The partitioning of the analysis along the categories of FIELD, TENOR and MODE facilitates a clear view of exactly which lexical and grammatical means are responsible for the expression of which metafunction, how each of these contributes to the text's overall function and, finally, where and how different languages and text types differ.

House's model mainly has been tested and subsequently applied to written, non-fictional texts.<sup>72</sup> As it stands, the model cannot be applied to language use in film because it lacks the conceptual and analytical categories necessary for dealing with this special kind of text type, which is not only characterized by idiosyncrasies in linguistic choice, but also – more importantly – by the simultaneous presence of two communicative levels – one text-internal, involving the characters onscreen, and one text transcending, involving the audience.

With the goal of distinguishing it from both written and spoken language use, language use in visual media has been variously labeled 'prescripted' or 'prefabricated speech', "secondary" (Ong 1982) or "fake" orality (Gutenberg 1995). This categorization has had the effect of setting language use in visual media – and this, of

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<sup>71</sup> Cf. Figure 5 above (p. 76), where FIELD, TENOR and MODE are presented in the systemic-functional stratification model of language

<sup>72</sup> With the exception of the exemplary analysis of one dramatic dialogue in House (1981).

course, includes film – apart from other kinds of 'authentic' language use. Especially in the case of language use in film, this also seems to have effectively inhibited any kind of prolonged scientific interest on the part of linguistics. In the following section, I will give an overview of the special properties of language use in film – thereby reclaiming it as an object of linguistic analysis.

## 6.2 Characteristics of language use in film<sup>73</sup>

Considering the defining features of language use in film, one can broadly distinguish between linguistic characteristics and the characteristics of the communicative situation in which a film text is involved.

### 6.2.1 Linguistic characteristics

Language use in film belongs to the genre of so-called 'dramatic dialogue' or 'dramatic discourse', which also encompasses the language use of the theatrical (stage) drama. Both have often been described as lacking the typical characteristics of naturally occurring speech as they are described, for instance, by Brown & Yule (1983), Halliday & Hasan (1989), Biber (1988) and Biber et al. (1999). According to these studies, speech prototypically displays a high frequency of occurrence of, for example, the following phenomena:

- a syntax which displays no strict linear structure and is as a result grammatically intricate;
- grammatically incomplete sentences;
- use of active declarative forms;
- *wh*-questions, sentence relatives;
- emphatics and amplifiers;
- first and second person pronouns, indefinite pronouns, demonstratives;
- reduced surface form through that-deletion and contraction;
- paratactic information organization, adjacency pairs.

Apart from the more frequent use of certain linguistic means, and the relative absence of others, the most unique features of conversation are phenomena of dysfluency and error such as gambits (House & Edmondson 1981), repetitions, false starts, hesitations, interjections, and filled and unfilled pauses. These phenomena are mainly caused by the external circumstances of the communicative situation and the interrelated, ongoing tasks of information processing and speech production under time constraint that the participants are subjected to (Biber et al. 1999).

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<sup>73</sup> Language use in film is not only prefabricated, but also fictional language use. However, I do not make a theoretical or analytical distinction between fictional and non-fictional language use, or fictional and non-fictional texts, because they are all instances of the same linguistic system and share the same metafunctional make-up. Within the systemic-functional framework, possible differences in communicative purposes and the communicative situation between fiction and non-fiction are captured by the situational parameters of the communicative situation. See also Halliday (1973), who rejects the literary–non-literary dichotomy which is often evoked to delineate the 'natural' objects of linguistic enquiry: "It is part of the task of linguistics to describe texts, and all texts including those, prose and verse, which fall within any definition of 'literature', are accessible to analysis by the existing methods of linguistics" (Halliday, quoted in Burton 1980: 3).

While it is surely the case that dramatic dialogue displays less grammatically ill-formed sentences than may occur in spontaneous speech, phenomena such as false starts, hesitations, repetitions are amply present in transcripts of films or theatrical performances. This applies especially to film where performance style and language use – due to generic conventions of the medium – are on the whole considerably less mannered than in theatrical drama and mirror more closely naturally occurring speech. Contrary to popular perception, features of prototypically spoken speech therefore might be unexpectedly frequent in film dialogue.<sup>74</sup>

In contrast to the prevailing definitions of dramatic dialogue as deficient, Elam (1980) attempts a positive description of the properties of dramatic dialogue. He lists the following features:

- Syntactic orderliness, which ensures "followability". The utterances are structured to be maximally comprehensible in order to guarantee that the audience can decode the relevant information.
- Informational density: Everything that is said is significant and carries meaning for the development of the action.
- Illocutionary purity: The comprehensibility of the illocution is essential to the development of the action.
- Floor-appointment control: The dialogue is generally articulated in well-defined turns, one following – and being generated by – the other in a logical and comprehensible fashion.
- Coherence: Each interaction between participants is characterized by a clear topic of discourse.

In summary, the single most distinguishing feature of dramatic dialogue is that every linguistic unit – including phenomena of dysfluency and error – is there for a reason. Every linguistic unit fulfills a function for the overall communicative goal of the dramatic dialogue.

Some linguists who investigate dramatic dialogue from a discourse analytical perspective claim that it is precisely the reduced presence of the prototypical traits of spontaneous speech which make dramatic dialogue provide insight into the basic rules and structures of communication at large.<sup>75</sup> Tannen & Lakoff (1994), for example, suggest a competence-performance relation between dramatic dialogue and

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<sup>74</sup> The problem of the traditional kind of evaluation of dramatic dialogue in terms of its 'flawed' verisimilitude and authenticity is that analyses within the field of linguistics have been mainly carried out on the basis of the printed film and drama scripts, and not on the basis of the language use in the actual performance which is where the typical features of spoken language use mentioned above are introduced into the text. See also Chapter 7 below for the corpus of transcripts used for this investigation, and compare Elam (1980) and Herman (1995) who both stress the importance of differentiating between the written "dramatic text" and the spoken "performance text". For an analysis of the relation between the "Buchform" and the "Bühnenaufführungen" see also Harweg (2001).

<sup>75</sup> Cf. e.g. the contributions to Hess-Lüttich (1980) and House & Koller (1983) who stress the pedagogical use of dramatic dialogues in foreign language teaching. Hess-Lüttich (1991) presents a "pragmatic model of discourse analysis for dramatic texts" (p. 237). His aim is to relate literary communication to its constitutive socio-semiotic structures and historical context (Hess-Lüttich 1985). It is less an analytical model but more of a scheme which makes transparent "the various problem-systems involved in the empirical analysis of a plays *Bedeutungskonstitution*" (Hess-Lüttich 1991: 237). As such it does not offer a systematic mode of analysis and it does not provide access to the complexity of meaning construction and communicative processes in which a dramatic text is involved.



naturally occurring speech. They argue that because naturally occurring speech is grammatically so intricate, it may well be essentially unintelligible and too difficult to be comprehended in all its details by the hearer. Instead, they claim, hearers actually might process only an underlying structure or scheme of the utterance. Tannen & Lakoff suggest that "artificial [dramatic] dialogue may represent internalized model or schema for the production of conversation – a competence model speakers have access to" (p.139, my emphasis). In this sense, dramatic dialogue could be understood as a bare-bones model of human interaction in conversation come to life – stripped to large measure of dysfluency and error phenomena which only enter the discourse because of the external pressures of the communicative situation and the speaker's coping with them. Hess-Lüttich (1985) offers an explanation for why dramatic dialogue and naturally occurring speech may indeed be related in the way described above. In his view, text producers model dramatic dialogues on the basis of their personal experience with language use and their practical knowledge of the functions of linguistic structures and interactional rules. Rephrased in Tannen & Lakoff's terms, the text producer draws on his "internalized competence model". And this necessarily results in written dialogue in which the overall structure of the conversation and interaction is displayed in a highly condensed and well marked way. In this view, dramatic dialogue can be understood as representing the fundamental patterns of communicative interaction. In this, dramatic dialogue directly taps into the matching basic patterns of reception of the audience.<sup>76</sup>

## 6.2.2 Characteristics of the communicative situation: Diegetic and extradiegetic levels of communication

As presented in section 5.1.2 above, the communicative situation in visual media features different types of participants which interact on different communicative levels. See again Figure 7 which is reproduced here as Figure 12:

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<sup>76</sup> See also Quasthoff (1996) who describes TV and film as being based on the imitation of common communicative interaction in order to elicit the corresponding patterns of reception in the audience. The imitation of patterns of human communication and interaction in film texts fits well with film studies' analyses of the film medium as an 'imitation of life' within film studies (cf. e.g. the contributions to Landy (1991) and Leibman (1995)). The contents of film texts are seen as "iconic portrayals" (Goffman 1974; Elam 1980), or reflections, of social encounters. Thus both in linguistic and film studies the contents of film texts are seen as "iconic portrayals" (Goffman 1974; Elam 1980), or reflections, of social encounters.

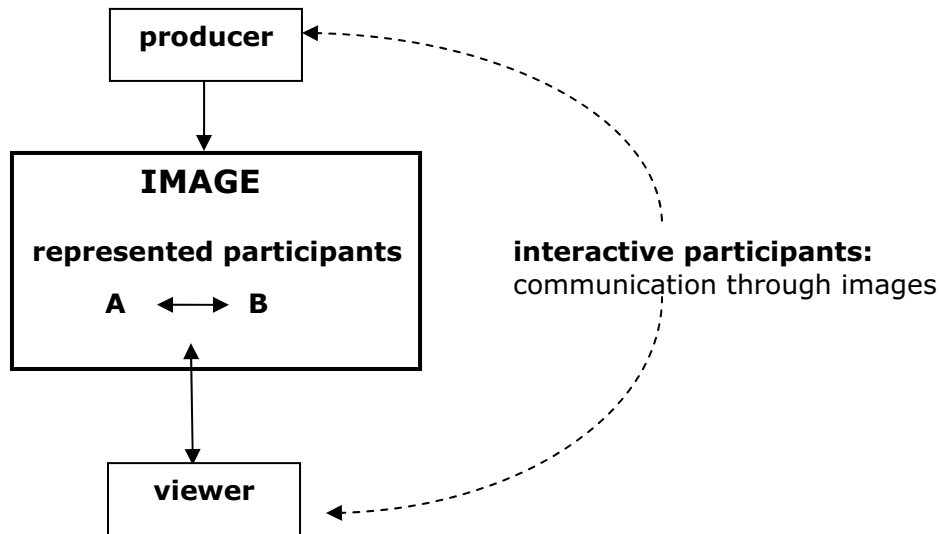


Figure 12 Participants in visual communication.

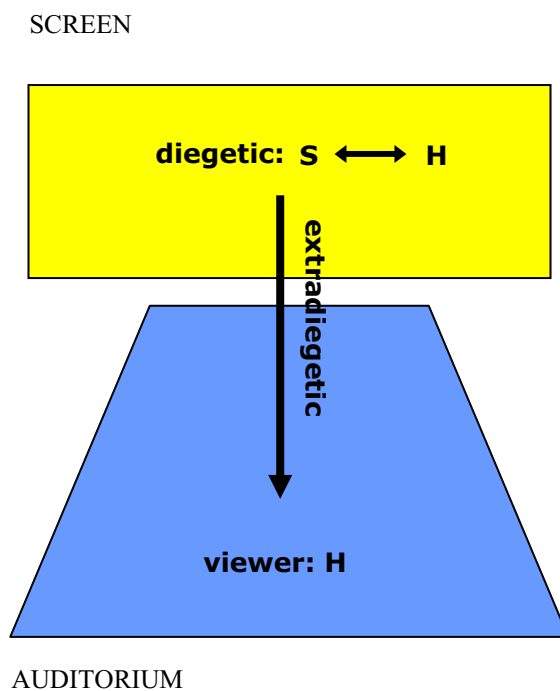
As described in the presentation of the structures of visual representation (section 5.1.2 above), visual texts encode three kinds of relations between represented and interactive participants:

1. Relations between represented participants.
2. Relations between interactive and represented participants.
3. Relations between interactive participants.

Following the basic distinction between "represented" and "interactive" participants, this section presents the understanding of the communicative situation and the communicative relations between participants in film, which is adopted in this study. This requires a closer look at the participant relations 1. and 2.

The communicative situation in film involves two distinct levels of communication which differ empirically, modally and functionally. On the one hand, there is the text-internal (diegetic) communication between the characters onscreen. On the other hand, there is the extratextual (extradiegetic) communication between the action depicted onscreen and the audience.<sup>77</sup> The levels of communication can be displayed in the following way:

<sup>77</sup> With respect to theatrical drama, these levels also have been called the levels of "interaction between the play and the audience in the macrocosm of the real world" and the "interaction between the characters in the microcosm of the fictional world" (Burton 1980), the "intra-textual aesthetic communication" and the "extratextual public communication" (Hess-Lüttich 1991), and the 'inner and outer communication systems' ("inneres und äußeres Kommunikationssystem" (Pfister 2001)).



**Figure 13** The diegetic and extradiegetic levels of communication in film.

Because language use in film functions on both the diegetic and the extradiegetic levels, it can be called polyfunctional (Pfister 2001): That is, every instance of language use in a film is simultaneously relevant for the onscreen diegetic communication and the extradiegetic communication between the film and the audience. To be more precise, every linguistic unit in the film text has a communicative function for the communicative event depicted onscreen and the characters involved in it, and it also has a communicative function in the communication between the film text and the audience. As will be illustrated below, these functions may or may not be identical. In terms of House's model of analysis, the polyfunctionality of linguistic elements implies that a film text will have two INDIVIDUAL TEXTUAL FUNCTIONS – one describing the communicative event inside the film, and one accounting for the one outside.

In the sections that follow, the understanding of the relation between the communicative levels adopted in this thesis will be described in detail because the analytical differentiation between the two is indispensable for the analysis of the meanings which are communicated by a film text.

### 6.2.1.1 Diegetic communication

Considered from the diegetic (text-internal) perspective, a film text is a coherent sequence of a fixed number of conversational encounters – either face-to-face interactions or mediated through some means of communication (for example the telephone) – presented in the form of scenes<sup>78</sup>. Each of the scenes has one

<sup>78</sup> A scene is the film's smallest dramatic unit. It presents an action that is spatially and temporally continuous, i.e. it takes place in a single place, at a single time (Belton 1994: 54).

INDIVIDUAL TEXTUAL FUNCTION because each of them features an individual configuration of the situational parameters of FIELD, TENOR and MODE. FIELD, TENOR and MODE are expressed by the choice of linguistic means in the discourse which, at the same time, express one of the correlated ideational, interpersonal and textual metafunctions.

In the diegetic communication, the film characters are the participants in the communicative event. They interact with each other both verbally and non-verbally<sup>79</sup>, taking turns at talk. The analysis of the diegetic communication, then, is concerned with the way of how the interaction between the characters is realized by their use of linguistic means and the accompanying visual information. The goal is to find out what kind of ideational and interpersonal meanings the characters express, which communicative functions their use of linguistic means fulfill, and which kind of situational and cultural contexts are reflected in their language use and non-verbal behavior.

### 6.2.1.2 Extradiegetic communication

In contrast to the diegetic communication, the extradiegetic communication is text-transcending. It refers to the communication between the onscreen action and the audience. In other words, the extradiegetic communication is the transmission of the content of the film to the extramedial audience. The extradiegetic communication is characterized by a strictly determined and essentially invariable reception situation. Its characteristics are the following:

- institutionalized settings (cinema, TV in public places or private homes);
- the temporal and spatial separation of the contexts of speech production and reception;
- the lack of reciprocity in the interaction between the participants;
- the restriction of audience (re)action to so-called "commentary texts" (for example laughter, crying, applause, exclamations and walk-outs (Hess-Lüttich 1991));
- the unidirectional stream of information;
- the fixed sequence of information;
- the stability of the communicative channel, which allows the audience only a fixed amount of time for the decoding of the information presented.

As indicated in Figure 13 above, in the communicative constellation between the onscreen action and the audience, the characters in the film figure as the 'speakers' while the audience is the 'hearer' (or addressee) of the message.<sup>80</sup> The audience observes the depicted events from the outside. In other words, the extramedial audience has the role and the perspective of a third party to a conversation – the so-called "overhearer" (cf. Bell 1984; Clark & Schaefer 1992; Clark & Carlson 1992).

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<sup>79</sup> For a proposal towards a functional categorization of types of non-verbal communication see, for example, Rehbein et al. (2001).

<sup>80</sup> The difference between the diegetic and extradiegetic communicative constellations in terms of participant relations is similar to Ehlich's (1994) distinction between the communicative settings typical of "Diskurs" and "Text", respectively.

Even though the audience in film generally is never directly addressed by a character in the film, all language use in film is ultimately directed at the extramedial hearer. We can say, therefore, that a character's utterances not only express interpersonal, ideational and textual meanings vis-à-vis his/her filmic interlocutor, but that the same utterances also express ideational, interpersonal and textual meanings in relation to the audience. These diegetic and extradiegetic ideational, interpersonal and textual meanings, and the communicative functions they fulfill, are not necessarily identical. Hence, the same text has two – potentially differing – INDIVIDUAL TEXTUAL FUNCTIONS.<sup>81</sup>

The difference in the meanings which are communicated diegetically and extradiegetically result from the difference in knowledge systems to which the *dramatis personae* and the audience have access to. As a rule, the audience always has access to more information than at least one of the characters in each scene. One reason for this are the different plot lines a film consists of. Each plot line is usually narrated from the perspective of one particular character. For this reason, the characters in a film will have only restricted knowledge of the overall structure of events in which they are involved, whereas the audience, which sees and hears everything that is depicted onscreen, has a comparative maximum of information<sup>82</sup>. It is on the basis of this relative maximum of information that the audience interprets information, or reinterprets previous information. In the light of the sum of knowledge at any given point in the film text, a character's utterance may express a different meaning on the extradiegetic level than on the diegetic one. This systematic difference in access to information and knowledge is the structural prerequisite for the creation of conventional dramatic effects such as suspense, irony or horror (Hess-Lüttich 1991; Pfister 2001).

The diegetic communication is in a relation of subordination to the extradiegetic communication.<sup>83</sup> That means, everything in the diegetic communication serves the superordinate communication between the film text and the audience. A linguistic item in a film text, therefore, has to be understood as having a referential scope which transcends the confines of the diegetic communication. Hess-Lüttich describes this situation in the following way:

The intra-textual aesthetic communication, often presented *as if* it was in a closed communicative setting, is always at the same time open to the audience in the circle of extratextual public communication. This second communicative relationship is by no means a mere addendum, but structurally implied within the text itself. (Hess-Lüttich 1991:236, emphasis in the original)

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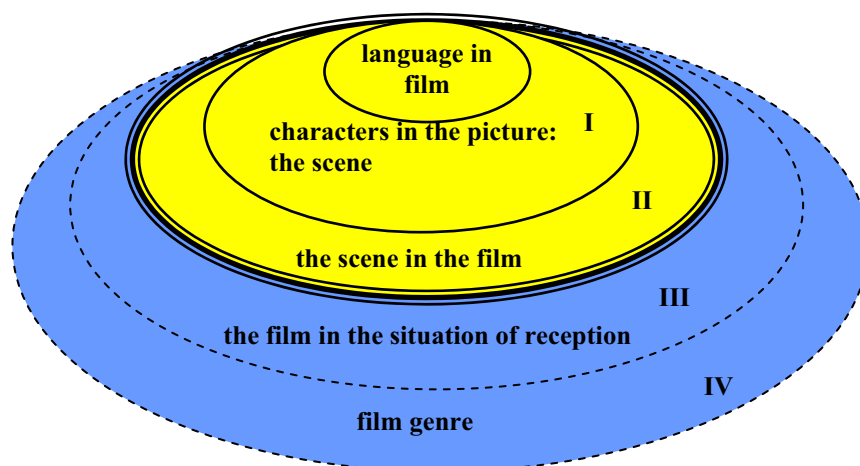
<sup>81</sup> This double issuing of the textual function is closely related to the concept of "Mehrfachadressierung" (Ehlich 2000). "Mehrfachadressierung" means that in a complex communicative setting, for example in mass communication, which typically involves different types of participants (speaker, hearer, medial and extramedial overhearers), one utterance simultaneously addresses different participants and may express different illocutions for each of these. This phenomenon is also constitutive of all forms of fictional texts which generically involve separated communicative levels.

<sup>82</sup> Information does not necessarily have to be reliable or truthful information. The distribution of information throughout the film text may be ambiguous or inconspicuous, so as to serve the creation of surprise effects (see the presentation of the categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS in section 6.3. below).

<sup>83</sup> Hess-Lüttich (1991) refers to this as the "hierarchy of communicative circles".

Taking up the idea of the 'openness' of the diegetic communication, I will briefly describe the ways in which the diegetic communication is geared towards the audience. For this purpose the idea of layers of meaning in and around a film text needs to be introduced.

As discussed in the section on "The viewer's activity" (5.1.3.2.2 above), a film text encodes denotative and connotative meanings which refer endophorically to the onscreen depicted action, and exophorically to the extratextual reality of the audience, respectively. Even though an analogy might appear obvious, denotative and connotative meanings must not be conflated with diegetic and extradiegetic communication because both denotative and connotative meanings are addressed at the extradiegetic audience. Whether or not these meanings 'reach' the audience depends on the situational and cultural context of reception. Figure 14 below presents a rough sketch of the potential referential scope of linguistic (and visual) elements in film.



**Figure 14** Layers of meaning in film: yellow: diegetic; blue: extradiegetic.

I will briefly explain the scheme: A linguistic element in a film can simultaneously have diegetic and extradiegetic referents. Diegetically, the linguistic unit will refer to some object or event relevant to the immediate context of its occurrence, i.e. the interaction between the characters in a scene (circle I). By being significant to the context of its occurrence, the linguistic unit contributes to the particular meaning the scene has for the overall structure of the film (II). Meaning on levels I and II both have denotative quality for the audience. It basically serves to express the logical progression of the action and to characterize the participants. On the extradiegetic levels (III, IV), the object or event the linguistic item refers to might be endowed with additional culture-specific meanings (connotations) in the extratextual context of the film's reception (III). Furthermore, the object or event the linguistic unit refers to might be associated with specific generic conventions present in the culture so that genre-specific meanings are invoked (IV). Meanings which are established through the interaction between the linguistic elements in the film text and the situative and cultural context of the reception, and which depend on the knowledge of generic conventions, are likely to be fed back into the process of decoding the depicted action by the audience. It seems clear that – as audiences change – over time, or in

the international distribution of the film text, the extradiegetic meanings which are associated with particular linguistic choices also will change.

Accordingly, the final observation concerning the relation between the diegetic and the extradiegetic levels of communication in film refers to the question of the stability of the textual functions. The textual function of the diegetic communication is static, monolithic and in principle unchangeable. The textual function of the film text in the extradiegetic communication, however, is dynamic. Its specific character is dependent on the situational and cultural make-up of the audiences' contexts of reception. Over time, or in the international distribution of a film text, the same text is inserted into different contexts of reception, and in each of these contexts, the film text may acquire a different textual function. If we think of the action in the film text as one coherent "discourse world" (cf. Edmondson 1981) and the audiences situational and cultural context of reception as another coherent discourse world, both discourse worlds may overlap to different degrees on every screening of the film (i.e. in every instance of extradiegetic communication).

The significance of potential differences between the discourse worlds becomes especially obvious when we consider the international distribution of film texts. In order to reduce the potential gap between the situational and cultural contexts of the intended audience and the one depicted onscreen – i.e. to customize the text to its addressees – film texts are adapted by translation and editing.<sup>84</sup>

In summary, language use in film is characterized by specific linguistic properties and a communicative setting which is split into two interrelated levels of communication. Linguistic choice in the film text will establish a double issue of textual functions – one belonging to the diegetic (text-internal) communication, and the other to the extradiegetic (extratextual) communication. In the analysis of language use in film, the capacity of linguistic choice to construct meaning on different levels of communication must be taken into consideration because it is the prerequisite for a full functional description of language use in film. The following section presents an analytical model which facilitates precisely that.

### 6.3 A model for the qualitative analysis of language use in film

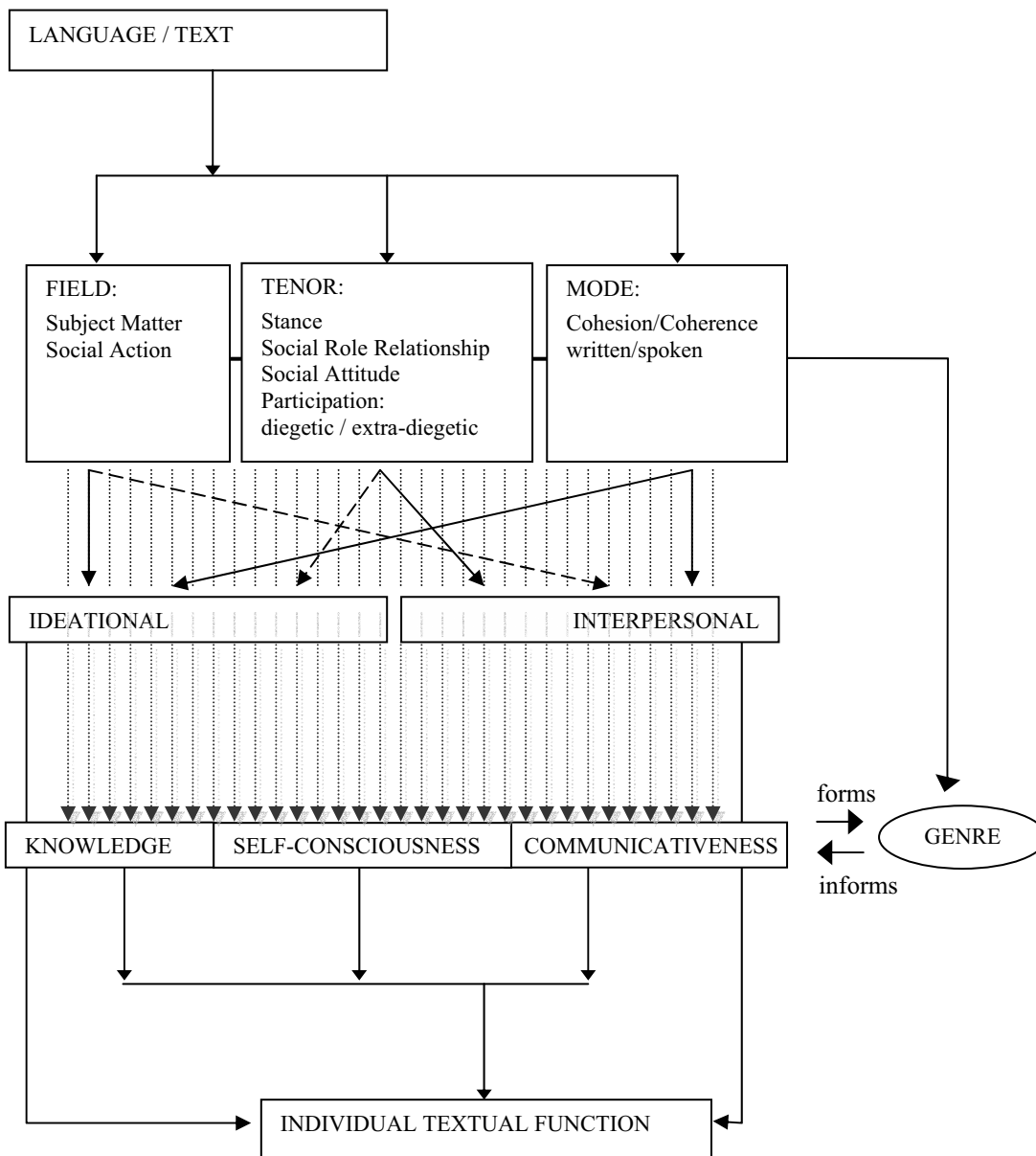
This section presents the model for the qualitative analysis of language use in film. First, the model will be presented in schematic form. Then the single categories will be described with respect to 1. their theoretical origin, 2. their function inside the model, and 3. the linguistic means and visual structures to be covered in analysis. To demonstrate the application of the model, an exemplary analysis of one text will be carried out in Chapter 8.

Language use in film is inseparably connected to co-present visual information. Thus, only the analysis of the verbal information in its co-occurrence with visual information provides a complete assessment of the meanings encoded through linguistic means. This includes the mechanisms of meaning construction between verbal and visual information, and the contribution of the single linguistic items to the overall function of the text on both the diegetic and the extradiegetic communicative levels. The model, accordingly, facilitates the analysis of the

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<sup>84</sup> Such adaptations are also known for monolingual and 'monocultural' settings, where film material which at one time was cut from the film to adapt it to prevalent culture-specific norms, is often reintroduced into the film after these norms have changed (cf. Garnarcz 1992).

linguistic means in a film text, and their relation to the visual information. The model is not intended to facilitate a full description of the meaning construction in film as realized by visual structures. In short, the model presented in Figure 15 below is a means for the functional description of linguistic choice in film and the processes of multimodal meaning construction in which it is involved.



**Figure 15** A model for the analysis of language use in film.

This model is mainly based on the revised version of House's model of text and translation analysis. The commonalities between the two are obvious (cf. Figures 10 and 11 in section 6.1 above). Essentially, the tiers and the categories which look similar in the figures are to be taken as comparable, however, even in comparable categories, changes apply. In order to provide a coherent picture, a full description of



the model will be given, recapitulating the categories taken over from House, and explicating the shifts and additions which were undertaken to adapt it to the text type film.

### **LANGUAGE/TEXT:**

Within this model, a text is seen as an instance of the linguistic system according to the requirements of the communicative situation.

### **FIELD, TENOR, MODE:**

The characteristics of the communicative situation are reflected in the text in its particular use of linguistic means. On the most abstract level, the communicative situation presented in a text is captured by the Hallidayan situational parameters (originally also literally referred to as "components of the situation" (Halliday 1978:123)) FIELD, TENOR and MODE. FIELD refers to the social action carried out, and the subject matter negotiated, TENOR to the interpersonal relations between the participants, and MODE refers to the text-forming processes which fuse together the propositions related to social action, subject matter and interpersonal relations into one cohesive and coherent text, thereby realizing the information structure of the text. Each of the situational parameters is primarily associated with one of the metafunctions of language: FIELD, TENOR and MODE are expressed in the text by linguistic means associated with the ideational, interpersonal and textual functions of language, respectively.

While the trinity of FIELD, TENOR and MODE is supposed to be universal to all communication and interaction, their particular configuration in terms of their linguistic realization is language- and culture-specific. FIELD, TENOR and MODE express in a text a specific type of social situation which is recognizable to the members of a culture as one particular type of communicative interaction licensed in the culture.

Inside the present model, FIELD, TENOR and MODE are the primary analytical categories. They open up the text and provide analytical access to the linguistic realization of the social action, subject matter, interpersonal relations and text-forming processes. Furthermore, their realization in a text exemplar shows which kind of communicative interaction is licensed in a certain situational context in a given culture. In order to allow a greater delicacy of analysis, FIELD, TENOR and MODE are subdifferentiated in the manner presented below. The analysis of each of the subcategories encompasses the lexical, syntactic and textual structural levels of language, and the level of visual representation.

### **FIELD:**

This category refers to the nature of the *Social Action* that is taking place in the text, and the *Subject Matter* the communicative encounter is about. *Social Action* captures 'what is happening', i.e. the activity the participants are engaged in in which the language figures as some essential component, while the *Subject Matter* captures the conversational topic and content more precisely.

The linguistic features and visual structures to be considered in the analysis of FIELD are the following:

1. Discourse structure: The discourse structure of the encounter – regarding its phases, exchanges, moves and acts (cf. section 5.3 above)<sup>85</sup> – is analyzed in order to capture the progression of the interaction and the thematic development of the subject matter.
2. Lexical choice is analyzed with respect to the lexical fields activated. The degrees of generality and specificity (Austin's (1962) "granularity") of lexical items are assessed according to rubrics of specialized, general and popular usage.
3. Linguistic and visual process types (transitivity choices): The types of processes employed in the text characterize the types of actions carried out, and the roles of participants in the action. The two main options in visual process types are summarized in Chapter 5.1.2 above ("Structures of visual representation"), for a more detailed account see Kress & van Leeuwen (1996). Following Halliday's (1985) initial distinction between material, behavioral, verbal, mental, relational and existential process types in language, Martin (1992) suggest a more refined categorization of the processes into processes of "action", "signification" and "being" and further subcategories. This classification allows a more detailed functional analysis of verb phrases. Figure 16 below displays a combined chart of Halliday's and Martin's classification of process types. The process types which Halliday (1994) identifies as the principle ones are in bold face.

process type: initial delicacy	process type: <b>principal</b> /subsidiary	meaning
action	<b>material</b>	event/happening action/doing
	behavioral	behaving
signification	verbal	saying
	<b>mental</b>	perception cognition affection
being	<b>relational</b>	attributive identifying
	existential	existing

Figure 16 Classification of process types (Halliday 1994; Martin 1992).

4. Syntax: The analysis of the sentence structure and the conjunctive relations in complex sentences is a supplement to the analysis of the process types. A lesser degree of structural complexity focuses and foregrounds the participant–process relations, whereas a higher degree of structural complexity with multiple, hypotactically or paratactically organized process realizations creates less transparency.

<sup>85</sup> The delicacy of the analysis of the discourse structure may vary, depending on the analytical goal.

5. Deixis, tense and aspect: In contrast to the conception of FIELD by House, the present model includes the linguistic realization of the spatio-temporal locale of the action through the means of local and temporal deixis, tense, aspectual choices, and the identification of the participants through names.

In the strict Hallidayan sense, at least the deictic elements would belong to the dimension of MODE, since they express the contextual embeddedness of the text. In fact, deixis, tense and aspect will also be considered under the category of MODE, in which textual coherence and cohesive relations in the text are assessed. However, the inclusion of local and temporal deictic elements within the ideational function of language is justified because within the systemic-functional framework, linguistic items are seen as multifunctional: "[I]n nearly all instances a constituent has more than one function at a time" (Halliday 1994: 30).

The multifunctionality of deictic elements, which makes them relevant for FIELD as well as MODE, is exemplified by (6.1) below. According to Halliday, language structures the experience of reality (i.e. FIELD) as consisting of a process, participants and (optional) circumstantial elements. In example (6.1), the circumstantial element is a locative adverbial – i.e. a deictic element:

(6.1)

*Birds*            *are flying*        *in the sky.*  
participant    process            **circumstance**

(Taken from Halliday 1994: 108)

The example shows that the expression of the extralinguistic reality in a text may include the use of deictic elements.

Likewise, participants are typically realized by nominal groups. Yet, participants might as well be realized by pronouns. For example, in an appropriate communicative context, the BIRDS in (6.1) might be substituted by THEY. It follows that both participants and circumstances may be realized by linguistic elements which deictically point to the situational context of the communicative encounter. Therefore, in the present model, the linguistic expression of the social action and the subject matter of a text encompasses all those linguistic means which serve to identify the participants and their actions in their communicative setting.

However, this categorization may well be specific to film texts.<sup>86</sup> Deixis, tense, aspect and names are relevant for the analysis of FIELD because they are fundamental to the construction of the fictional reality – which is the field of experience and social action for the onscreen characters, and at the same time the subject matter for the extradiegetic audience.

6. Visual structures: Apart from the visual processes, the compositional structure of the images is considered whenever the linguistic features listed above and visual information co-occur. In addition, the communicative encounter is analyzed with respect to non-verbal communication

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<sup>86</sup> Or, more generally, all types of mediated, i.e. non-face-to-face, communication.

## **TENOR:**

The analytical category TENOR very broadly refers to 'who is taking part' in the communicative event. The category is subdifferentiated into the categories *Provenance*, *Stance*, *Social Role Relationship*, *Social Attitude* and *Participation*, capturing the nature of the participants, their statuses and roles, and the forms of interaction between them.

In considering the interpersonal relations between the participants, a distinction is made with respect to permanent and temporary social and discourse roles. According to Halliday (1978) social roles (for example teacher) are defined without reference to language but realized through language as a form of communicating and projecting social roles. Conversely, discourse roles, such as "questioner", "responder" and "informer", are solely defined by the linguistic system. They are only relevant in communicative situations. The concept of social roles can be subdifferentiated by House's (1997) concept of "position roles" and "situation roles". She claims that certain social roles are permanent position roles (such as teacher, police officer, or priest), and others are temporarily acquired situation roles determined by the communicative situation (for example applicant for a job, speaker at a given occasion).

Social roles and position and situation roles are often correlated with particular discourse roles. For example, in an encounter between a priest in a confessional and a person coming to seek absolution, the distribution of the discourse roles of questioner (typically the priest), responder (typically the repentant person) and informer (typically the repentant person) runs along the line of the institutional difference in social roles between the interlocutors.

The subcategories of TENOR are defined as follows:

*Provenance* refers to the speaker's temporal and geographical origin.

*Stance* refers to the speaker's intellectual and affective attitude towards him-/ herself, the propositional content of his/her utterances, the other participants in the communicative situation and the communicative task he/she is involved in (for example planning an action, arguing, explaining, apologizing).

*Social Role Relationship* refers to the relationship between the participants in terms of social power and authority (asymmetrical relationship) on the one hand, and solidarity and equality (symmetrical relationship) on the other hand.

*Social Attitude* refers to the degree of social distance or proximity between the participants as expressed by the level of formality of the communicative behavior. House (1997) captures different levels of formality in the trinity of "formal", "consultative" and "informal". The present model returns to House's (1981) original characterization of formality. More delicate distinctions are offered by the more fine-grained differentiation between styles of interaction originally suggested by Joos (1961). The styles range from "frozen" to "formal", "consultative", "casual" and "intimate". Frozen style between participants is characterized by a maximum of referential explicitness and a relative absence of interlocutor recognition. Formal styles allow little interaction between the participants. They are marked by strong cohesion and logical sequence between the propositions. The most neutral level of formality is the consultative one. It is the norm for conversation between strangers. Consultative and casual styles are predominantly characterized by colloquial

language use. Intimate style between participants is characterized by colloquial language use, a maximum level of referential implicitness and allows non-standard (vulgar, obscene) linguistic choice.

*Participation* refers to the direct and indirect involvement of the hearer into the ongoing discourse. In other words, it captures the ways in which the speaker elicits the hearer's active participation in the communicative event. The category *Participation* is further subdivided into *Diegetic Participation*, which refers to the communication between the onscreen characters, and *Extradiegetic Participation*, which refers to the involvement of the audience into the onscreen communicative encounter.

Within the present model, *Participation* is the category which, in its underlying conception of two types of hearer involvement, departs most radically from House's idea of *Participation*. Her conception of hearer involvement does not encompass the possibility of the simultaneous presence of text-internal and text-transcending communication. Thus, her model offers no way of accounting for the fact that language use in film is involved in meaning construction on different levels of communication, which eventually lead to a double issue of textual functions. I will briefly explain House's conception of *Participation* and then proceed to describe *Extradiegetic Participation* and its analysis more fully.

In its original version, House's model featured *Participation* under the category MODE. The revised version displayed in Figure 11 above features *Participation* under TENOR because the linguistic realization of addressee involvement also characterizes the interpersonal relationship between the participants (House 2002a). House (1981, 1997) distinguishes between simple and complex *Participation*.

A text may either be a "simple" monologue or dialogue or a more "complex" mixture involving, in an overt monologue, various means of indirect participation elicitation and indirect addressee involvement manifest linguistically for instance in a characteristic use of pronouns, switches between declarative, imperative and interrogative sentence patterns or the presence of contact parentheses, and exclamations (House 1997: 40, my emphasis)

According to this view, language use in film would be categorized as a "simple dialogue", "designed to simulate real-life, spontaneous language" (House 1981: 172). The category "simple dialogue" is in most respects equivalent to what I have called the diegetic level of communication. However, the fact that language in film is ultimately addressed to the extramedial audience, and that the extradiegetic communication is structurally implied in the diegetic one – exemplified, for example, by the different types of information available to the characters and the audience and dramatic devices such as irony, horror and suspense – cannot be captured by an understanding of *Participation* as concerned with diegetic communication only.

To be able to describe how language use in film achieves the involvement of both the diegetic and the extradiegetic hearers, the analysis of *Participation* within the present model is separated into two parts. The key difference between the diegetic and the extradiegetic communication is that the linguistic means which initiate the verbal interaction between the participants onscreen do not have the same function with respect to the extramedial audience. This phenomenon has been described above as "Mehrfachadressierung". That is, in communicative situations which

involve multiple constellations of participants, the same utterance can acquire different illocutionary qualities for different participants. A question uttered by a character onscreen will not have the illocutionary force of a question for the extramedial audience. The question will rather serve as information about the aims and interests of the speaker.<sup>87</sup>

Moreover, in general, no character in a film explicitly addresses the audience, asking them to perform an action, or to follow closely the action onscreen. As mentioned above, it is one of the constitutive elements of the mainstream feature film not to acknowledge the presence of an extramedial audience. Usually, a film does not explicitly give away the fact of its construction.<sup>88</sup> In short, a film audience is materially separated from the events onscreen. It is not directly addressed and has no overt possibility of taking part. Yet, it is difficult to imagine that the film medium would have been able to achieve the mass status it has without having a means or mechanism to make the audience participate in the film. The audience's participation in the film does not arise out of an active, on a par interaction with the participants in the communicative encounter onscreen but out of its affective quality which involves the audience in the text.

*Extradiegetic Participation*, i.e. the involvement of the extramedial audience in communicative encounter onscreen, is not direct interaction, but affective participation. This concept of affective participation will be explained in more detail: Like all texts, films are produced for a particular audience,<sup>89</sup> and the intended viewers are not thought of as simply watching a film. The two major effects a film is intended to have on its audience are viewer projection and viewer identification (Dyer 1986, 1987; Baumgarten 1998). The individual viewer is supposed to project him-/herself inside the film and to take part in the action of the film from a perspective of "Ich in der Welt der Charaktere" (Stanzel 1991). The viewer will also be provided with the possibility of identifying him-/herself with one of the characters in the film. In other words, the viewer is supposed to vicariously share the experience of the characters in the film. In order to facilitate audience participation through projection and involvement, the film purposely – in analogy to the conception of the character as the central narrative element in the novel – provides the character as the central meaningful unit of a film (cf. Bordwell et al. 1996; Lothe 2000). His/her verbal and non-verbal actions are the triggers for viewer involvement in the film.

The term "affective participation" is borrowed from Metz (1982), who argues that a film triggers in the individual viewer a "certain impression of reality", which results in what he calls "perceptual transference" (p.101): The viewer's consciousness of the filmic situation, i.e. its status as 'not real', as a fabrication, "starts to become a

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<sup>87</sup> Cf. Clark & Carlson (1992) who would classify this kind of 'overheard' question as an "informative": "The speaker performs two types of illocutionary act with each utterance. One is the traditional kind, such as an assertion [...]; this is directed at the addressees. The other, called an informative, is directed at all the participants in the conversation – the addressees and third parties alike. It is intended to inform all of them jointly of the assertion [...] being directed at the addressees" (p. 205).

<sup>88</sup> This is true for conventional mainstream film productions. Independent and avant-garde productions are much more likely to incorporate narrative means which make the film's constructedness explicit.

<sup>89</sup> In the case of mass-produced films the intended audience is sociologically and statistically pre-defined by the production companies in order to ensure maximum audience numbers and maximum revenue. In the context of literary text production, Hess-Lüttich (1985) calls the same phenomenon the "audience orientation" of literary communication (p. 200).

bit murky" (p.101), the viewer confuses film and reality, his/her sensory perception expands and transcends the immediate physical context of reception to include, or to be transferred to, the reality onscreen. The viewer's affective participation in the film is both the cause and the consequence of the perception of a film as a form or an extension of reality.

Metz argues from the point of view of a psychologically-oriented reception theory of film. Psychology, *per naturam rerum*, is concerned with the individual's attitudes, emotions and affective stances towards things.<sup>90</sup> However, the role of affect and emotion in communication and the capacity of linguistic forms to invest propositions with emotional and affective quality are also widely acknowledged in other disciplines which are more directly related to the context of the present study. For example, in sociolinguistics, the categories of emotion and affect have long been used to explain the expression of speaker stance and speaker attitudes (cf. for example Ochs 1989). Within literary theory, Pfister (2001) relates affective participation in the communicative event to the "phatic" function (cf. Bühler 1934) of language. He stresses the relevance of the phatic function in dramatic dialogues for establishing the channel (in Jakobson's (1960) sense) between speaker and addressees, and maintaining the contact between them.<sup>91</sup> He argues that the phatic function of utterances in the 'outer communication system' – i.e. extradiegetic communication – serves

der Engagierung des Rezipienten durch die Spannungsstruktur, durch epische Kommunikationsstrukturen und durch die Identifikationsangebote des Textes selbst. (Pfister 2001: 161)

In other words, the verbal and visual information in a film text is intentionally encoded in the text with the goal of involving the audience into the text. Crucially, this involvement is to be seen as being more than the simple decoding and comprehension of the information given in the text. Involvement – 'engagement' in Pfister's terms – describes an emotional, psycho-physiological process of interaction with the text.

The sociolinguistic and Pfister's literary-theory perspective on affective involvement focus on the linguistic means which express affect in the texts. This stance is also adopted in the present context: The audience's affective participation in a film is seen as an emotional, psycho-physiological phenomenon which is triggered by the linguistic elements in a text. The linguistic phenomena and features to be considered in the analysis of the *Extradiegetic Participation* are the following:

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<sup>90</sup> A remotely related concept of audience participation is that of the viewer as "voyeur" (cf. e.g. Mulvey 1973). Arguing from a psychological and psychoanalytical point of view, watching a film is equalled to the act of observing without being seen. It is this secretly peeping in, which is understood as the central stimulus and source of "pleasure" for the viewer. The more private and spectacular insights the onscreen action offers – i.e. either similar to or different from the viewer's personal experience – the greater will be the sensation of pleasure and thereby the affective participation in the film.

<sup>91</sup> "Die phatische Funktion, die auf den Kanal zwischen Sprecher und Hörer bezogen ist und der Herstellung und Aufrechterhaltung des Kontakts zwischen ihnen dient, ist dagegen vor allem im äußeren Kommunikationssystem [comparable to "extradiegetic communication"] von hoher Relevanz." (Pfister 2001: 161)

### Participation Phenomena:

- a. Specific types of communicative situations which are specific to a particular genre, series of films or any other set of texts, and which are therefore expected by the audience.
- b. Lexical items and syntactic structures which are marked or non-standard usage in the immediate context of their occurrence or the film text as a whole. They are typically employed for the realization of standard dramatic effects such as irony and horror.
- c. Lexical items and syntactic structures which are marked or non-standard usage in their combination or in co-presence with visual information.
- d. The linguistic realization of specific conversational topics and contents which carry affective meanings in the situational and cultural context of reception.
- e. Linguistic units which refer to the different levels of information between the audience and the onscreen characters. Different levels of information are fundamental to establishing the dramatic effect of suspense.
- f. Linguistic means which are associated with referential explicitness (cf. Biber 1988; Doherty 1999; House in press a). In naturally occurring conversation, implicit, situation-dependent reference is more usual, so that one may conclude that explicit reference (for example denotatively precise lexical expressions, deictic elements but also repetitions and visual-verbal redundancy) is explicitly directed at the audience as a means of focusing them on a particular piece of information.<sup>92</sup> Explicit verbal reference can be made either to preceding or following verbal and visual information, to co-present visual information, or to the situative and cultural context of the fictional world.

Returning to the overall analytical category of TENOR, the linguistic features and visual structures to be considered in the analysis of *Provenance, Stance, Social Role Relationship, Social Attitude* and *Diegetic/Extradiegetic Participation* are mainly the following:

1. Lexical choice: is analyzed with respect to the geographical, temporal and stylistic markedness, and the attitudinal and evaluative expressiveness of lexical items.
2. Modality: expresses the speaker's assessment of the proposition in terms of the likelihood of its being true.
3. Discourse markers: express the style level invoked by the interlocutors and floor appointment control.
4. Presence/absence of contraction, reduced pronunciation: express the style level invoked by the interlocutors.
5. Ellipsis: expresses the style level invoked by the interlocutors and refers to shared information and common ground.

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<sup>92</sup> Cf. also the related distinction between specific and non-specific (opaque) reference, proposed by Lyons (1977).



6. Use of pronouns (speaker/hearer deixis): expresses the speaker's stance-taking and elicits hearer involvement in terms of attention to the speaker's utterances as well as with respect to active hearer contributions to the discourse.
7. Vocatives: elicit hearer involvement.
8. Presence/absence of honorifics: indicate the style level invoked by the interlocutors.
9. Process types: express the actions in which the participants are involved.
10. Active/passive voice: indicate active and passive participants.
11. Presence/absence of parentheses: indicate the presence or absence of the direct expression of the speaker's attitudes and opinions (cf. Hoffmann 1998; von Kügelgen 2003).
12. Mood choices: serve participation elicitation and the expression of attitudes and opinions.
13. Exclamations and interjections: express speaker and hearer involvement in the ongoing action.
14. Tag questions: a means of floor appointment control. Tag questions express "maximum conduciveness" (Quirk et al. 1985: 810) and serve the speaker as a means to direct the hearer's understanding or his/her reaction to the utterance.
15. Adjacency pairs, illocutive sequences: conventionalized and mutually expected sequences of utterances and conversational moves (cf. Edmondson 1981). They realize the interchanging roles of speaker and hearer for the interlocutors, involving them actively in the communicative event.
16. Visual structures: the visual representation of the communicative encounter is analyzed with respect to non-verbal communication. In addition, the compositional structure of the images is considered whenever the linguistic means listed above and visual information co-occur.

### **MODE:**

The analytical category MODE refers to a text's realization of text-forming mechanisms and the textual information structure resulting from them. The category is determined by the textual function of language which links interpersonal and ideational meanings into cohesive and coherent text. MODE thus captures the "way language makes links with itself and with the situation so that the construction of text is possible" (Halliday 1978: 145).

The category MODE in House's original model additionally encompasses the analysis of the "Medium" (the channel), which can be either "simple", i.e. written or spoken, or "complex". "Complex medium" offers further subcategories for written texts ("to be spoken as if not written", "to be spoken", "not necessarily to be spoken", "to be read as if heard"). This conception of an analytical category "Medium" is not useful for the analysis of language use in film as it is investigated here because a pre-categorization of language use in film as, say, "written to be spoken as if not written"

is very likely to bias the analysis towards a search for linguistic items which would 'prove' just that.<sup>93</sup>

In the revised version of House's model, this categorization of "Medium" is replaced by the analysis of the relative 'spokenness' and 'writtenness' of a text or spoken discourse. This is carried out with reference to Biber's (1988) parameters of "involved vs. informational text production", "explicit vs. situation-dependent reference", "abstract vs. non-abstract presentation of information".

In the present model, the analytical category MODE mainly refers to the linguistic realization of a text's cohesion and coherence, which is seen as related to its relative 'writtenness' or 'spokenness'. The analysis of a text's realization of cohesion and coherence serves to decompose the information structure of the film text into its constituent parts, focusing on those linguistic means which serve as cohesive links between the propositions. The goal is to arrive at a functional description of the elements which mark the text's information structure. As an off-spin, the analysis of cohesion and coherence facilitates to locate the discourse on a cline between prototypical spoken and written language use according to Biber's (1988) dimensions of register variation. Thus, rather than being an analytical category, written/spoken serves descriptive functions.

This relation between cohesion, coherence and prototypical spoken and written language use needs to be explained in more detail. The terms cohesion and coherence are used in the sense of Halliday & Hasan (1976):

A text is a passage of discourse which is coherent in these two regards: it is coherent with respect to the context of situation and therefore consistent in register; and it is coherent with respect to itself, and therefore cohesive. (Halliday & Hasan 1976: 23)

In other words, coherence is realized by establishing relations between the propositions in the text, and between the text and the extratextual context through cohesive linguistic means. Cohesive devices serve the semantic and syntactic linkage between the components of a text. According to Halliday & Hasan (1976, 1989) and Martin (1992), these include theme-rheme development, information organization into 'given' and 'new', reference and its subcategory of phoricity, ellipsis, substitution, conjunctions, adjacency pairs, various types of lexical cohesion (repetition, the sense relations synonymy and antonymy, taxonomic relations, generic terms), and structural (grammatical) parallelism.

A related concept is that of 'connectivity' ("Konnektivität", Rehbein 1999). Connectivity can be glossed as the establishment of relations between what is said with what has been said or what will be said.<sup>94</sup> Connectivity will be included in the notion of cohesion adopted here because it allows to include, for example, aspectual forms (converbs), which are not covered by Halliday & Hasan's and Martin's descriptions of cohesion, as means of linking two parts of a text.

Empirical evidence from case studies and the investigation of large-scale corpora as well as insights from theoretical work on spoken and written language use suggest

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<sup>93</sup> Moreover, it is not scripted film dialogue with which the present analysis is concerned, but the transcripts of the actually uttered dialogue (cf. Chapter 7 below).

<sup>94</sup> "[...] wie Gesagtes mit zuvor Gesagtem oder mit noch zu Sagendem in einem Zusammenhang verknüpft wird, und mit welchen Mitteln dieser Zweck beim sprachlichen Handeln erreicht wird" (Rehbein 1999: 189).

that the linguistic means which account for a text's relative 'spokenness' and 'writtenness' are the same which are responsible for the realization of cohesion and coherence in the text (cf. Biber 1988, 1995; Tannen 1982; Chafe 1984; Koch & Österreicher; Ehlich 1994). Metaphorically speaking, cohesion and coherence and 'writtenness' and 'spokenness' are two sides of the same coin. As described above, following Biber (1988, 1995), the differences between prototypically written and spoken language use can be described by the following three dimensions of register variation:

- Informative vs. involved text production and communicative purpose.
- Explicit vs. situation-dependent reference.
- Abstract vs. non-abstract information.

The differences between informative and involved, explicit and situation-dependent, abstract and non-abstract language use can be made manifest in the use and co-occurrence patterns of linguistic means. These co-occurrence patterns suggest that types of spoken and written language use are systematically related to specific realizations of textual cohesion. For example, in English, involved, situation-dependent and non-abstract language use, such as in face-to-face conversation, is characterized by *that*-deletion, contraction, exophoric reference through pronouns, indefinite pronouns, and informational redundancy – all of which are responsible for a particular type of cohesion between the parts of the text and its coherence with the situational context. This constellation differs from the cohesive devices found in written texts, i.e. more informative, explicit and abstract language use. Examples of the cohesive means in written texts are conjuncts and demonstratives for endophoric reference as well as certain types of adverbial subordination, all of which realize a form of textual connection which, in its most extreme forms, does not make links with the situational context of the communicative event at all.

The linguistic features and visual structures to be considered in the analysis of MODE, then, are those associated with the expression of information structuring and those associated with prototypical 'spokenness' and 'writtenness', such as especially the following:

1. Deixis: Local, temporal, personal and textual deictic elements serve to express endophoric and exophoric reference.
2. Vocatives, honorifics: express explicit reference to the participants in the communicative encounter.
3. Names: serve to encode exophoric reference.
4. Pronouns/pro-forms: devices for abbreviating linguistic constructions in order to avoid redundancy.
5. Tense, aspect: Together with other temporal-deictic forms, tense and aspect serve to construct the temporal frame within which the communicative encounter takes place. The temporal frame is determined in terms of past, present and future, specific moments in time, and the duration and progression of time.
6. Syntax: is analyzed in terms of paratactical and hypotactical logico-semantic relations expressed by conjunctions and conjuncts (Quirk et al. 1990).

7. Active/passive voice: can function as a foregrounding device and can serve the de-automatization of information processing through the variation of sentence structuring.
8. Ellipsis: refers to presupposed information.
9. Discourse makers: serve to structure utterances, act as framing devices and realize shifts in discourse topics.
10. Reduced surface forms: Contraction and reduced pronunciation are associated with the drive for speech economy typical of spoken language use.
11. Tag questions: serve to focus the preceding proposition. They are associated with prototypical spoken language use.
12. Mood changes: trigger adjacency pairs (see below), which are the most basic units of communicative interaction, and facilitate the logical progression of the interaction.
13. Adjacency pairs, illocutionary sequences: conventionalized and mutually expected sequences of utterances which realize the logical progression of the interaction.
14. Lexical repetition, structural (grammatical) parallelism: iconic and cohesive connections between propositions. They result in informational redundancy, which is associated with prototypical spoken language use (cf. Tannen 1989; Biber et al. 1999).
15. Interpersonal constellations: In encounters with more than two participants, linguistic means might be used to construct the interpersonal relations between the single participants as standing in particular relations to each other (for example contrast). This partitions the encounter into recognizable participant constellations.
16. Visual structures: The visual representation of the communicative encounter is analyzed with respect to non-verbal communication, its contribution to the sequencing of the discourse in terms of the development of its subject matter(s) and the social action, and the cohesive relations between linguistic structures and visual information (either referential relations, i.e. the verbalization of visual information, or co-occurrence relations in which no explicit reference to visual information is made).<sup>95</sup>

### **IDEATIONAL/ INTERPERSONAL (functional components):**

Each text consists of an ideational and an interpersonal functional component which is derived from the analysis of FIELD, TENOR and MODE. The ideational and interpersonal functional components are represented by the boxes IDEATIONAL and INTERPERSONAL in the schematic representation of the model above (p. 94).

An important distinction has to be made between 'language functions' and the 'functional components of the text': A text consists of linguistic elements which express ideational, interpersonal and textual meanings. This is equivalent to saying that the linguistic elements in a text express the ideational, interpersonal and textual

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<sup>95</sup> A detailed account is given in the context of the presentation of the results of analysis of visual-verbal cohesion in Chapter 9.

functions of language in the text. It is because the linguistic means express the language functions in the text that they contribute to the ideational and interpersonal functional components of the text. So, whereas the language functions are – as it were – 'natural' constituents of the text by virtue of a text being realized by linguistic elements which are inherently endowed with ideational, interpersonal and textual meanings, the functional components are abstract, superimposed categories for organizing, systematizing and evaluating the ideational, interpersonal and textual meanings expressed in the text.

The assumption of IDEATIONAL and INTERPERSONAL functional components in texts is derived from the idea that if – as put forth by systemic-functional theory – language (and communication in general) is metafunctionally diversified into ideational, interpersonal and textual functions, a text, as an instantiation of the linguistic or other semiotic system involved, will also display the same three functions. As explained above, the three metafunctions are systematically associated with the realization of the situational parameters of the communicative situation, FIELD, TENOR and MODE. While there are three metafunctions and three corresponding situational parameters – which serve as analytical categories in the model – there are obviously only two functional components epitomizing two of the metafunctions. This is explained as follows.

According to Halliday (1978: 145), the textual function of language is an "enabling function" which serves to organize and fuse linguistic elements that express ideational and interpersonal meanings into one coherent and cohesive text. So, whereas the ideational and interpersonal functions are 'primary order' functions which directly express the communicative situation through their inherent referential and appellative/expressive potential (cf. Bühler 1934), the textual function is 'second-order' in that its expression depends on the prior existence of ideational and interpersonal meanings. Within the present model, the IDEATIONAL and INTERPERSONAL functional components are understood as reflecting the primary order language functions – each including textual meanings.

In the process of analysis, linguistic elements are first correlated with the realization of FIELD, TENOR and MODE in the text and after that, they are categorized in terms of their contribution to either the IDEATIONAL or the INTERPERSONAL functional components. The arrows in the schematic representation of the model on p. 94 indicate the way in which the linguistic items expressing the social action and the subject matter (FIELD), the interpersonal relations between the participants (TENOR) and the text's constitution (MODE) contribute to different degrees to the functional components of the text.

Solid arrows represent direct and systematic relationships between an analytical category and the functional component. Such a relationship is established by the equally systematic correlation of the situational parameter with the corresponding metafunction posited by Halliday (1994). Dotted arrows represent non-systematic relations. A non-systematic correlation exists, for example, between FIELD and the INTERPERSONAL functional component: Lexical choice is associated with the ideational function of language (Martin 1992). It primarily encodes the subject matter of the text and, correspondingly, is mainly associated with the situational parameter FIELD. However, the choice of lexical items may also function to express the speaker's stance towards a state-of-affairs. MODE features two solid arrows pointing towards the IDEATIONAL and the INTERPERSONAL functional components, respectively. This is to stress that the information-organizational text-

forming function of linguistic units correlated with MODE in general always also encodes either interpersonal or ideational meanings as, for example, in the case of passive voice or demonstratives.

The function of the categories IDEATIONAL and INTERPERSONAL functional components within the model can be summarized in the following way: The results of the analysis of the linguistic items associated with FIELD, TENOR and MODE are categorized with respect to the function – ideational, interpersonal – they have for the overall function of the text. The IDEATIONAL and INTERPERSONAL functional components are not analytical categories, but ones in which the results of the analysis of FIELD, TENOR and MODE are systematically pooled and functionally labelled.

In her original model, House used the category REGISTER to summarize the findings of the analysis of FIELD, TENOR and MODE. The use of linguistic items in a text was thought to express a particular "register" in the text. The present model does not include a category REGISTER because "register" does not appear as a readily applicable category for the purposes of the model. "Register" can be defined as the use of particular linguistic means in particular communicative situations. The use of linguistic means by the different speakers in the different communicative encounters in film is captured by the analysis of FIELD, TENOR and MODE. An extra category for its classification is not necessary. Furthermore, because of the special textual constitution of a film, the notion of register cannot be adapted to the analysis of a film text as a whole. We will see below that "genre" is a more important category in this respect. Therefore, rather than narrowing the focus down to the description of the registers expressed in the diegetic communication, for film texts, it is more useful to carry out a functional categorization of the linguistic means present in the text with respect to their contribution to the meaning constitution (i.e. function) of the text as a whole.

### **KNOWLEDGE, SELF-CONSCIOUSNESS, COMMUNICATIVENESS:**

KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS have been briefly introduced in section 5.1.3.2.5 above as the categories of information transmission which define the communication of information to the extramedial audience. KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS stem from film theory, or more specifically, from the theoretical modeling of filmic narrative. As such they are, of course, no linguistic categories and no established categories of linguistic analysis. Accordingly, in contrast to, for example, FIELD, TENOR and MODE they are not systematically associated with specific linguistic means. Nevertheless, they facilitate the assessment of how a film text interacts with its audience because they allow the analysis of the film text's status as a non-arbitrary, intentional fabrication of specific verbal and visual meanings, which are 'disclosed' to the audience in a pre-planned, highly structured and regulated manner, and – crucially – for a specific communicative purpose. KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS are closely connected to the category GENRE, which will be introduced below. But, first, in what follows, the integration of these film theoretical categories into the linguistic model of analysis will be presented.

Bordwell – who introduced the concepts to film theory in 1985 – describes the categories as follows:

As categories of information transmission, knowledge, self-consciousness, and communicativeness all bear on how film style and [plot] construction manipulate time, space and narrative logic to enable the spectator to construct a particular unfolding [story]. (Bordwell 1985: 61, my emphasis)

The use of the categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS inside the present model mirrors this definition. The categories serve the analysis of the kind of information which is expressed in the film text at any given point of the narrative progression. The aim is to assess what kind of information is made explicit, what is presupposed, what is to be retrieved from the preceding text, and what information is not given even though generic conventions and expectations demand that it should be provided. The categories also capture what information is left implicit, i.e. invested with meaning which will only become meaningful to the audience in retrospect, when additional information discloses the 'real' meaning and significance of the previously inconspicuous information.

KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS refer to the communication of information to the extramedial audience. Thus, the categories of information transmission are directly related to the extradiegetic communication. As we have seen above, the linguistic features in a text are correlated with the realization of the social action, the subject matter (FIELD), interpersonal relations (TENOR) and the text's constitution (MODE). The same linguistic features shape the ways of information transmission to the extramedial audience. This is indicated in the schematic representation of the model by the dotted lines which trickle down from the categories of FIELD, TENOR and MODE through the IDEATIONAL and INTERPERSONAL functional components to the categories of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS (p.130 above).

The difference between the relevance of FIELD, TENOR and MODE for the diegetic communication on the one hand, and the extradiegetic communication on the other, lies in the role that social action, subject matter, interpersonal relationships and the constitution of the text play for the two types of communication. In the context of the extradiegetic communication, the linguistic elements serve not only to realize the communicative encounter onscreen, but also to construct the film's narrative. Each linguistic element contributes to the construction of story of the film as a whole, of which each individual communicative encounter (i.e. each scene) is only one single part. Further, the FIELD, TENOR and MODE of each single scene (i.e. each communicative encounter) contribute to the overall configuration of FIELD, TENOR and MODE for the film text as a whole. The audience decodes the linguistic elements not only with respect to the immediate communicative encounter onscreen, but also with respect to the sum total of the textual information available at any given point of the progression of the story. Crucially, the audience additionally interprets the linguistic means against the situational and cultural context of reception. The categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS are set up to be able to account for these processes.

In order to make this clearer, I will give definitions of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS, indicate how they can be traced in the text, and illustrate their functioning by providing an example.

### **KNOWLEDGE:**

A text can be called more or less informative about the underlying story of the film. This is reflected in the audience's knowledge (i.e. access to information) which is either restricted or unrestricted. For example, the audience's access to information can be restricted by the fact that the film is narrated from the point of view of one character or a fixed set of characters, who may present the audience with either objective or subjectively shaded information. Conversely, the information available to the audience is unrestricted when the information distribution is not confined to a particular perspective. The audience then has more information about the story at any given point in the film's narrative than any of the characters.

### **SELF-CONSCIOUSNESS:**

In its broadest sense, self-consciousness refers to what extent the film text displays a recognition of the fact that it is addressing an audience. The most obvious type of filmic self-consciousness – popular in fiction as well as in documentary films – is voice-over narration by either a character-narrator (present in the film) or a non-character narrator (not present in the film). Other indicators of self-consciousness are visual-verbal redundancy, repetition of information and ambiguous reference.

### **COMMUNICATIVENESS:**

The information transmission to the audience is also characterized by degrees of communicativeness. For example, if visual information is explicitly referred to by linguistic means, the text displays a greater degree of communicativeness than in cases in which the visual information – despite being relevant for the course of the subsequent events – is not made linguistically explicit.

I will illustrate KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS and its shaping of the information transmission to the audience by the following example:

(6.2)



male character: This looks particularly inviting.

The communication of the visual and verbal information in (6.2) to the audience can be described as follows: Diegetically, (6.2) shows the participants engaged in one particular conversational exchange. As was pointed out in section 5.3 above, the conversational goal of the male character may be characterized as complimenting and befriending the female character. He initiates the exchange by making the first



interactional move with an act consisting of one declarative clause which expresses his personal opinion in a statement.

Extradiegetically, the status of the visual information and the utterance acquires another facet:

KNOWLEDGE: At this point of the narration, the audience knows from information given earlier in the story more about the motivations and goals of both of the characters than either of them does of the other. Without going deeper into the content of the film, one can say that the motivations for the interactional behavior are more complex than simply making friends. The audience will interpret the male character's utterance in the context of their knowledge of his intentions. The female character knows less about the motivations of her interlocutor than the audience. This creates a difference in the knowledge levels between the audience and the female character which builds up dramatic suspense for the audience.

SELF-CONSCIOUSNESS: The utterance is ambiguous (even though the female character does not acknowledge it): It may refer to the terrace and the pool, or it may refer to the body of the woman. In the latter case, such a direct assessment would have to be interpreted against the prevailing conventions of politeness in the context of conversational behavior between strangers of different sexes in the 1960s, the time of the film's initial release. With respect to the extramedial image of the male film character – the "James Bond" of the eponymous film series – the utterance encodes a reference to his already established image in order to activate a particular type of contextual knowledge. Reference in a film to the film medium, the star persona or the extramedial image of the characters are always to be interpreted as instances of self-consciousness because it is at these instances that the automatized perception of the film as a self-contained illusion is challenged by reference to the reality of the audience.

COMMUNICATIVENESS: The pronominal reference THIS encodes an explicit reference to information to be retrieved from the visual context. As mentioned above, THIS either refers to the pool scene or the woman. In either case, the film communicates information explicitly, directing the audience's orientation towards particular visual information and towards particular possible interpretations of the utterance.

To sum up, the assessment of the linguistic features in the text with respect to their realization of particular types of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS serves to describe the ways in which the film text communicates information to the audience. That is, by means of these categories the extradiegetic communication between the onscreen action and the extramedial audience is captured and can be profiled. It follows that in the process of analysis, each linguistic item is categorized twice: once regarding its contribution to the IDEATIONAL and/or the INTERPERSONAL functional component of the text, and a second time regarding its contribution to the categories of information transmission. Thus, the double communicative levels in film result in a double issue of textual functions: one which refers to the text's function in the diegetic communication, and one which refers to the text's function in the extradiegetic communication.

The analysis of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS is the third step in the overall process of analysis, following the assessments of FIELD, TENOR and MODE and the IDEATIONAL and INTERPERSONAL functional components. The prior categorization of the

linguistic means in the text as either encoding the subject matter and the social action, the interpersonal relations or the textual constitution, i.e. expressing ideational, interpersonal or textual meanings, provides a functional characterization of each linguistic item. The subsequent analysis of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS will, therefore, make clear which kind of meanings – ideational, interpersonal, textual – are communicated to the audience. The results of the analysis of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS are summarized and together with a summary of the make-up of the IDEATIONAL and INTERPERSONAL functional components they constitute the INDIVIDUAL TEXTUAL FUNCTION. Accordingly, the INDIVIDUAL TEXTUAL FUNCTION is not an analytical category, but the place in the process of analysis where the results of the analyses of the different categories are merged into a comprehensive description of the text's function in the diegetic and extradiegetic communicative constellations. I will return to the INDIVIDUAL TEXTUAL FUNCTION after the introduction of the final category in the model: GENRE.

### **GENRE:**

Inside the present model, GENRE is not primarily an analytical category, but rather a conceptual one. The reason why GENRE is included in the model is because the existence of genres as formative principles of texts is particularly obvious – and often foremost in addressees and analysts' minds – in fictional text types and especially in film. This is probably due to their unmistakable, universally known status as fabrications and market- and consumer-oriented commodities. After all – to paraphrase one common perception of genre in fictional texts – a text, which is fictional must be produced in accordance with some superordinate model, otherwise nobody would know what it is about, what to expect from it and, thus, it would not 'sell'.

It is not the least for reasons of conceptual and analytical completeness that it is important to provide a category which allows to examine whether the text under investigation complies with certain generic conventions, or which genre its use of linguistic features realizes. However, due to the process of analysis primarily envisioned with the present model, the category is not laid out to encompass a full description of the linguistic realization of a text's genre membership. This is indicated in the schematic representation of the model by GENRE's detached position on the right margin. Before I go on to present the category GENRE in detail, the idea of genre adopted by House and the corresponding category in her analytical model will be outlined. Furthermore, the film studies' understanding of genre adopted for the present purposes will be described.

House understands genre as a

socially established category characterized in terms of occurrence of use, source and a communicative purpose or any combination of these. Inside my model genre might serve as a category linking register (which realizes genre) and the individual textual function (which exemplifies genre). (House 1997: 107)

Her application of the concept genre is not to deduce the genre membership of the text under investigation or a text's realization of generic conventions from the linguistic means present in the text. Rather, in the process of analysis, a genre is ascribed to the text. The classification appears to be carried out on the basis of the analyst's intuitive, everyday knowledge of genres in general. This becomes clear from House's exemplary text analyses included in the 1997 presentation of her model of analysis. Under the heading "genre" Daniel J. Goldhagen's historical study *Hitler's Willing Executioners* is classified as an "academic text featuring a provocative hypothesis and re-interpretation of the causes of historical facts" (House 1997: 151), and her analysis of an autobiography features the following genre ascription:

Autobiography of a famous person. The goals of such works are to share with a larger public the person's private life, habits, convictions and beliefs in order to satisfy a certain voyeurism on the part of the public, and to give the public the opportunity to learn something from an exemplary life. (p. 135)

The genre classification is not substantiated by linguistic evidence. The analysis does not make clear what it is in the texts that makes them an autobiography and a historical study, respectively. As a result, the genre labeling appears as more or less dissociated from the text under investigation and somehow inconsequential for the analysis of the text as a whole.

Obviously, one problem with House's use of the term "genre" seems to be that the ascription of genre membership sometimes focuses on the content of the text – as in the case of the historical study – and on other occasions refers to the function of the text for the reader – as with the autobiography. Of course, both conventions determining the possible subject matters and the intended effect of the text on the reader are constituents of the concept of genre. Nevertheless, as it is applied in House's model, the category "genre" gives only a very general description of the content and/or the function of the genre and no clues why a text should belong to the genre. Therefore, as an analytical category, "genre" remains comparatively inconclusive.

Within film studies, Neale (1980) provides a description of genre which – for the present purposes – offers a more concrete application of the concept in analysis.<sup>96</sup> According to Neale, genre can be considered from three different perspectives: A genre is a body of texts, a body of textual conventions, and a set of audience expectations. He gives the following definition:

Genre may be defined as patterns/forms/styles/structures which transcend individual films, and which supervise both their construction by the film maker, and their reading by an audience. (Neale 1980: 7)

Hence, a specific genre is understood to be an exclusive and particular combination of meaningful elements and instantiations of formal principles. Film genres such as the "suspense thriller", "comedy", "melodrama", "documentary", "biography", "disaster film", "musical" and "science fiction" serve to establish a regulation of the

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<sup>96</sup> The reasons for this greater ease of application may lie in the fact that, in contrast to linguistics, film studies are more 'naturally' related to the concept of genre because of a film's obvious status as a fabrication and a kind of 'genetic' relationship with literature where the concept of 'genre' originally stems from.

variety of mainstream narrative across a series of individual texts.<sup>97</sup> At the same time – in order to sustain themselves, genres allow for a systematic amount of difference through deviance from the generic norms.

The system of genres relies on a combination of the familiar and the unknown, conventionality and novelty, similarity and difference. (Belton 1994: 116)

The distinction between a view of genre from the perspective of text and from the perspective of the reader/addressee is also found in some discussions of genre in linguistics – although, on the whole, in comparison to Neale's account, the linguistic descriptions appear somewhat vaguer. Focusing on the text-perspective, genres are seen as constraining linguistic choice to a fixed set of options of expression. Considered as an addressee-related concept, genres are seen as 'existing' in a culture in the form of a "certain shared knowledge about the nature of texts of the same kind" (Ventola 1995: 121), and as "projections of a higher-level semiotic structure" (Halliday 1978: 138). The underlying idea is that genres are the expression plane of systematic constellations of meanings which have (or have been invested with) a particular value or function in the culture.

Inside the model, GENRE originates on the level of the situational parameters FIELD, TENOR and MODE. Language is the overall repertoire of expression available in a culture, and a text is one instantiation of language according to the requirements of the communicative situation. A group of texts shaped by identical communicative situations – i.e. identical configurations of FIELD, TENOR and MODE – constitutes the 'raw material' for the formation of a film text genre. Because genres have a particular function for the members of a culture, a film genre has a particular function for the film audience. Inside the model, a film genre is therefore seen as expressed through the parameters determining the extradiegetic communication between the onscreen action and the extramedial audience. Accordingly, the category GENRE is also related to the categories of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS. It is only these categories of information transmission to the audience that are understood as being shaped by generic conventions. In contrast, FIELD, TENOR and MODE and the IDEATIONAL and INTERPERSONAL functional components are considered as non-genre-specific. Configurations of FIELD, TENOR and MODE are specific of particular communicative situations, such as for instance service encounters, casual conversation or patient-medical staff interactions in hospitals (cf. investigations by Ventola 1987; Eggins & Slade 1997 and Tebble 1999). However, it is only through the genre-specific realization of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS that a film text becomes a member of a particular genre of film texts. It is easy to imagine that, when depicted in film, service encounters, casual conversation and interactions in a hospital each time acquire different characteristics for the extradiegetic communication, when they are realized according to the conventions of KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS operative in the genres

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<sup>97</sup> Specific to film is the systematic institutionalization of a so-called "genre system" which functions to stabilize the film industry by controlling the diversity on the entertainment market and controlling the audiences' entertainment experience (cf. Belton 1994).

"comedy", "gangster film", "epic", "science fiction" or "documentary". In other words, the amount of information and the ways in which it is communicated to the audience are determined by the genre the text belongs to. The two solid arrows pointing in both directions between KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS and GENRE accordingly signify that the communication of information is determined by generic conventions and that the realization of the categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS signals a text's genre membership.

### **INDIVIDUAL TEXTUAL FUNCTION:**

The realization of the categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS and the IDEATIONAL and INTERPERSONAL functional components constitute the text's INDIVIDUAL TEXTUAL FUNCTION. The category summarizes the results of the analysis and the functional categorization of the linguistic features and their accompanying visual structures and includes a statement of the text's function in the diegetic and extradiegetic communicative constellations.

To conclude this section, I will sketch the analytical procedure: The model is intended to facilitate the investigation of language use in film through the analysis of communicative encounters in film. Because films consist of visual and verbal information, language use in film is analyzed in its relation to co-occurring visual structures. The analysis proceeds as follows: The linguistic elements and their co-occurring visual structures are analyzed along FIELD, TENOR and MODE in order to establish the linguistic realization of the social action, the subject matter, the interpersonal relations and the textual constitution. In a second step, the results of the analysis of FIELD, TENOR and MODE, i.e. the functional description of the relevant linguistic and visual means, serve to assess the realization and the relative weighting of the IDEATIONAL and INTERPERSONAL functional components in the text. FIELD, TENOR, MODE, the IDEATIONAL and INTERPERSONAL functional components describe the diegetic communication between the characters in the film text. Thirdly, the linguistic elements and the co-occurring visual information are revisited to assess the realization of the extradiegetic communication between the onscreen action and the extramedial audience. This is carried out along the categories KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS which capture the nature of the information transmission to the extramedial audience. In an additional step, these categories are then used to consider the text in terms of its expression of membership to a particular GENRE. Finally, the category INDIVIDUAL TEXTUAL FUNCTION features a summarizing statement of the text's function in the diegetic and extradiegetic communicative constellations, which is gleaned from the preceding steps of the analysis.

The model is intended to be used in monolingual as well as in language contrastive investigations. For the purposes of this thesis, the model has been applied to the contrastive analysis of English original film texts and their German translations. Also, it is especially in contrastive settings that the rather complex analytical and conceptual modeling of the communicative encounter into categories and subcategories will prove useful because the single categories provide discrete,

self-contained points of comparison (*tertium comparationes*) between the text exemplars under investigation.

In order to stress that the model can be applied to the functional analysis of any kind of text – translated or not – it is not – unlike House's – explicitly declared as a model for translation analyses or translation quality assessment. If translation quality assessment and the evaluation of the degree of functional equivalence (cf. House 1981) between the source and the translated text is the goal of the investigation, the model can be used to measure the relative match of the INDIVIDUAL TEXTUAL FUNCTIONS of the source text and the translated text. If, as in the case of the present study, language contrasts and differences in communicative preferences are to be assessed, the analysis along the individual categories of the model will establish the commonalities and differences in the linguistic realization of communicative functions in texts across languages.

To conclude, this chapter presented the model for the analysis of language use in film. The model was established on the basis of the discussion of language use in film – with respect to its specific linguistic properties and the two interrelated levels of communication – and House's model of text analysis and translation quality assessment which served as the point of departure for the modeling of the analysis of language use in film.

In the present research design, the categories of the model for the analysis of language use in film serve as an analytical grid in which the linguistic realization of communicative behavior in English film texts and their German translations is captured. The goal of the analyses is to assess source text-induced linguistic variation in the target language texts. The application of the model in this investigation will be demonstrated in an exemplary analysis of a film text in Chapter 8. The following chapter, however, first describes the corpus of film texts used for the investigation and the overall methodological design.

## 7 The corpus of film texts and translations and the method of its analysis

The development of a tool for the analysis of language use in film was the prerequisite for the investigation of an influence of the English language on German communicative preferences. For the present thesis, a diachronic investigation of source text-induced language variation in the target language text was carried out through the analysis of language use in popular English motion pictures and their German-dubbed versions. The present chapter describes the corpus of film texts and film translations, summarizes the transcription conventions, and concludes with a description of the research method applied.

### 7.1 The corpus

The corpus was compiled from the films of the British-American motion picture series *007 – James Bond*. The reasons for selecting these texts are the following. First, the aim of this investigation is especially to cover translated and non-translated language use in popular film. The translation relation English-German in TV series has been studied most notably by Herbst (1994) (cf. section 4.1.2 above). But up to now, language use in film has not been investigated in comparable depth and width. On the whole, language use in fictional visual mass media has almost never been the object of linguistic analysis.

Secondly, because the present study is intended to contribute to the superordinate question of a cross-linguistic influence of English on German linguistic choice in translations and the potential subsequent take-over of these changes in structures and patterns of use in monolingual German language use, the aim was to use texts which reach a mass-audience. Already with their initial release, commercially successful films reach several million people at virtually the same time. Once released, films are subjected to systematically planned cycles of distribution and exhibition so that a film usually has a continuously growing audience. Major film productions such as the *James Bond* series are first released in the cinema, subsequently on video and DVD and from a certain point on, they also are continually broadcast in reruns on TV. This permanent availability of a film offers the possibility to watch a film more than once, which very likely deepens the familiarity of the audience with the plot, story and the dialogue of the film. For the same reason of mass appeal, major mainstream productions and not avant-garde, independent or art cinema films were chosen. The corpus is intended to reflect – in the best sense – good quality, ordinary film production and film translation.<sup>98</sup>

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<sup>98</sup> A recurring argument in the discussion and analysis of the translation of films and TV productions is the question of the quality of the translation. Very often it is implied that 'bad' translations are the rule and that because of this, film translations do not merit scientific investigation. For several reasons which cannot be addressed in the present context in any detail, this view is not shared in this thesis. Suffice it to say that, in principle, no texts – whether subjectively considered as good or bad quality in terms of style or content – should be allowed not to be subjected to scientific analysis. The translations analyzed in the present investigation, however, can safely be assumed to be of 'good quality'. Luyken (1991), for example, finds differences in the quality of film translation for the cinema and the translation of TV series. He argues that the quality of the film translations is highest in major mainstream motions pictures,

The third reason for choosing the *James Bond* series was to use texts which are not overly marked for a particular style of speaking (i.e. dialects, idiolects, non-standard usage)<sup>99</sup> and which cover a broad spectrum of conversational topics and communicative tasks such as arguing, planning, informing, describing and explaining. The communicative encounters were to be 'naturalistic' in the sense that they had to resemble naturally occurring communicative encounters. Related to this is another factor. The films had to be set in contemporary settings so as to reflect contemporary language use and communicative behavior.

Fourthly, one of the most important reasons is the fact that the *James Bond* film series stretches over thirty years from 1962 to the present, featuring a new movie release every two to four years. At present, this amounts to 25 major film productions. This means *James Bond* represents diachronically very consistent text production. It features a set of recurring stock characters and stock situations and a fixed narrational frame (cf. Eco 1966; Bennet & Woollacott 1987; Lünemann 1993). In addition, each film also features new types of communicative encounters which provide for variety in linguistic choice and communicative behavior. Furthermore, the series is characterized by a stable translation relation English–German.<sup>100</sup> And lastly, the character "James Bond" and the world he inhabits are one pivotal product of both Western European/North American 20<sup>th</sup> century popular mainstream culture (cf. Chapman 1999; Tesche 2002).

These factors offer a unique possibility for a diachronic investigation of language use in film and film translations – one which can trace possible changes in linguistic choice and communicative behavior. Included in this investigation are transcripts from 19 films, comprising – with one exception – all productions from the 1960s through to the 1990s.<sup>101</sup>

The corpus consists of 219 transcripts of English and German spoken discourse in film. The transcriptions were made from audio recordings of the original English film soundtracks and their corresponding official German-dubbed versions. The corpus comprises approximately 16 hours of transcribed spoken discourse<sup>102</sup> from a principled selection of film scenes. These scenes feature the main character – British secret agent "James Bond" – in conversational encounters with stock characters (his superior "M", head of the British Secret Service, M's secretary "Miss Money Penny", the armorer "Q"), realizations of recurring character types (the "good girl(s)", the "bad girl", the local liaison officer, the prime criminal) and a few other characters which fall into neither of these

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which are marketed to be large-scale commercial successes. In these cases, the dubbing is carried out with special care in that attention is paid to the linguistic standards and communicative preferences operative in the target language community.

<sup>99</sup> Special translational problems surround the realization of non-standard usage. A famous example for such a case is the dubbing of *My Fair Lady* (1964), but the same applies to more recent films (cf. Herbst's discussion of *My Fair Lady* (Herbst 1994) and Pisek (2002) and Queen (2004) for the dubbing of African American English into German in films of the 1990s). The present study is not concerned with this kind of singular problem cases of film translation.

<sup>100</sup> The translations for the German film market are produced immediately after the completion of the film.

<sup>101</sup> See the appendix for a list of the films.

<sup>102</sup> It seems advisable to refrain from using the production scripts for the analysis of language use in film, because the differences between what is written down and what is actually said onscreen are considerable (Dries 1995). An investigation on the basis of the written film scripts is very likely to misrepresent the actual quality of 'spokenness' and 'writtenness' of language use in film.



categories. The objective behind this selection was to ensure, as far as possible, the diachronic comparability of the discourses.

Each transcript consists of the original English discourse and the corresponding discourse from the German-dubbed version of the film. Figure 17 below presents an excerpt of a transcript from the corpus.

dafgirl2

**Year of production**

1971

**Speakertable**

**007**

Sex: m

**Tiffany Case**

Sex: f

**Desc**

[1]

	0	1
<b>007 [e]</b>	Nice place you have here. Take something off,	
<b>007 [g]</b>	Ein angenehmes Platzchen hier. Entblättere Dich	
<b>Desc [nv]</b>	<i>at a private poolside; enter Tiffany Case</i>	

[2]

	..	2
<b>007 [e]</b>	enjoy the sun.	
<b>007 [g]</b>	und leg Dich in die Sonne.	
<b>Tiffany Case [e]</b>	You got a lot of guts showing up here.	
<b>Tiffany Case [g]</b>	Du hast vielleicht Nerven hier auch	

[3]

	..	
<b>Tiffany Case [e]</b>	After letting me freeze my behind off at a blackjack table for two hours	
<b>Tiffany Case [g]</b>	noch aufzukreuzen! So eine Unverschämtheit, zwei Stunden sitze ich	

[4]

	..	
<b>Tiffany Case [e]</b>	waiting for the nonexistent diamonds. (And) what the hell is my black	
<b>Tiffany Case [g]</b>	festgeklebt wie ein Idiot am Spieltisch und warte auf nicht existierende	

[5]

	..	
<b>Tiffany Case [e]</b>	wig doing in the pool?	
<b>Tiffany Case [g]</b>	Diamanten. Und wieso schwimmt da meine schwarze Perücke im	

[6]

	..	3
<b>Tiffany Case [g]</b>	Swimmingpool?	
<b>Desc [nv]</b>	<i>a black-haired girl is floating dead in the pool</i>	

Figure 17 Excerpt from a film text transcript.

In the following section, the conventions for the transcription and the annotation of the corpus will be summarized.

## 7.2 Transcription and annotation conventions

The transcripts of the film discourses are minimally annotated for references to visual context, paralinguistic and non-verbal features of communication. The transcription was carried out along the lines of the HIAT transcription conventions.<sup>103</sup> However, in accordance with the principles of HIAT, not the whole system of annotations was implemented. Also, the annotation symbols are not in all cases the ones proposed. The changes have been introduced for reasons of analytical economy.

The transcripts are prefaced by metainformation, indicating the transcript name, the production date of the film, the speakers and their biological gender and the description ("Desc") track, where the annotation of the discourse will be found. Each transcript consists of two or more tracks. The German-dubbed version of the discourse, marked "[g]", is displayed directly below the English original, marked "[e]". The track "Desc [nv]" contains the annotation of the English discourse with respect to visual information, paralinguistic features and non-verbal behavior. The equivalent annotation of the German discourse is found in the "Desc [g]" track located below the English one. For the purposes of the presentation of the analyses (cf. Chapter 8 below), visual information in the form of film stills (frames) is provided in order to illustrate those particular parts of the communicative encounter where visual and verbal information interact in a way relevant to the analysis. Otherwise, all analytically relevant visual information is verbalized in the "Desc" track. The aim of the annotation is to re-contextualize the discourse by providing information about the setting and other external factors shaping the communicative encounter. The table below lists the annotation symbols and gives an overview of the phenomena which are annotated in the "Desc" tracks.

. ! ?	utterances are segmented by the corresponding signs of standard orthography; ". ", "! ", and "? " indicate the mood of the utterance
-	"-" at the end of a word indicates a level tone (Halliday's tone 3, Halliday (1994) or "progredienter Tonverlauf" Ehlich & Rehbein (1979)
,	a comma indicates a falling tone
. . .	a stop with spaces before and after indicates a pause of approximately one second
<i>overlap</i>	simultaneous utterances by different speakers; overlapping parts of utterances
<i>paralinguistic features of the utterance</i>	e.g. shouting, whispering
<i>non-verbal communication</i>	e.g. laughter, singing, humming, snorting, coughing, crying, gasping

<sup>103</sup> HIAT (Halbinterpretative Arbeitstranskriptionen, semi-interpretative working transcriptions) is a system for the discourse analytical transcription of spoken language initially developed by Ehlich & Rehbein (e.g. 1976) and Rehbein et al. (1993). For a manual see Rehbein et al. (2004)

<i>non-verbal communication: gestures, body language</i>	
<i>visual information</i>	participant's action
<i>OFF</i>	the speaker is not visible
<i>enter/exit</i>	a participant enters or leaves the locus of the communicative encounter
<i>CUT</i>	indicates a cut in the film; mostly a change in location; the discourse is continued across the cut
<i>visual information, either directly referred or not referred to</i>	e.g. location
<i>turns of minor participants in the communicative encounter</i>	e.g. service personnel, passers-by
<i>???</i>	incomprehensible parts of utterances

**Table 1** Annotation conventions.

### 7.3 Research method

The investigation of source text-induced language variation in target language texts was carried out through the analysis of language use in film in a corpus of English film texts and their German-translated versions. A combined qualitative synchronic and diachronic contrastive approach was chosen. Using the analytical model introduced in the previous chapter, contrastive qualitative analyses of the English and German film discourses in all the transcripts in the corpus were carried out. From these analyses, the salient features of convergence and difference between English and German language use in film were deduced. In a second step, a selection of these – linguistic means expressing cohesive relations between verbal and visual information in the discourse<sup>104</sup> – was then subjected to contrastive diachronic analyses. The database for the diachronic contrastive analyses consists of two sets of data:

1.	1960s films	45 transcripts	English: 14465 words	German translations: 15125 words
2.	1990s films	38 transcripts	English: 9812 words	German translations: 10031 words

**Table 2** Database for the diachronic contrastive analyses.

An inevitable lacuna in this investigation of language variation in translations is the fact that the results of the analyses of the original and the translated texts could not be related to a monolingual German parallel corpus of comparable film

<sup>104</sup> The reason for choosing these phenomena for closer scrutiny will be explained in Chapter 9.

texts. The simple reason for this is the virtual non-existence of such comparable texts in German. There is no German film series of comparable diachronic scope, and there is no other homogenous set of original German language films available, which would match the present source and translation text corpus in a conceivable way. Moreover, there are no studies on German language use in film with which the findings of the present investigation could be compared. The results of the present investigation are therefore related to the findings of work in English-German contrastive linguistics, contrastive pragmatics and 'monolingual' studies of relevant German linguistic means and phenomena, the most prominent of which have been introduced and discussed in Chapter 4 and section 5.3.

In order to show how the qualitative analyses were carried out, the following chapter presents an exemplary analysis of one transcript from the corpus of English and German spoken discourse in film. In a second section, the results of the qualitative analyses for the entire corpus will be presented.

## 8 Qualitative analysis of English and German language use in film: English film discourses and their German-dubbed versions

This chapter presents the mode and the results of the qualitative analysis carried out in the investigation of source text-induced language variation in target language texts. In the first part of this chapter, I will present an exemplary analysis of one English film text and its translated German-language version, using the model of analysis introduced in section 6.3 above. After that, the results of the analysis of the entire corpus will be summarized.

### 8.1 An exemplary analysis

A preliminary remark concerning the length of the following exemplary analysis is necessary. At first sight, the analysis may appear long, dense and in some parts maybe even redundant. This is due to the fact that, first, linguistic elements are multifunctional. That is, a linguistic element can have more than one communicative function (cf. section 5.1.1 above), which all have to be accounted for in the process of analysis. Secondly, for the purposes of the demonstration of the application of the analytical model in the present investigation and the transparency of the single steps of the analytical process, the analysis is more explicitly and extensively verbalized than is necessary in the actual use of the model. On the whole, a balance was attempted between brevity and exhaustive description.

The text to be analyzed in this section is one scene from the *James Bond*-motion picture *Dr No* (1962) – the first film in the *007 – James Bond* series. The scene is located approximately nine minutes into the film. From the point of view of the overall narrative, the scene can be summarized in the following way: James Bond enters the headquarters of the British secret service. In the anteroom of the head of the secret service's office, he meets the secretary "Money Penny". They talk while he waits to be admitted to the main office. From the point of view of the contemporary (1962) audience, only the name of the male character – "James Bond" – is known, the organization, his role in the secret service, his relation to the female character, and their relation to the previously introduced crime plot have not yet been identified.

The analysis proceeds as follows. First, each English original text is analyzed along the categories of FIELD, TENOR and MODE. Then the German translation is analyzed along the same categories. On the basis of these findings, a comparative account of the original and the translation text's realization of the INTERPERSONAL and IDEATIONAL functional components and the categories of information transmission, KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS is established, which then feeds into a comparative account of the texts' INDIVIDUAL TEXTUAL FUNCTIONS. In order to avoid unnecessary redundancy in the analysis and its presentation, a directly contrasting approach to the IDEATIONAL and INTERPERSONAL functional components, the categories of information transmission and the text functions of the original and translation texts was chosen. For the same reason, differences and commonalities in linguistic choice between original and translation text are

already pointed out in the analysis of FIELD, TENOR and MODE. This will help to illustrate and clarify the individual processes of meaning construction in the source and the translation text. Finally, no detailed analysis of GENRE was undertaken. Since the goal of the present study is to find evidence for converging or divergent use of linguistic means and differences and commonalities in communicative preferences, a comprehensive parallel account of the cross-linguistic mapping of genre conventions, though insightful in itself, is not necessary and would go beyond what this investigation wants to achieve.

### 8.1.1 Sample text for analysis

**drnom**

**Year of production**

1962

**Speakertable**


**JB**


Sex: m


**MP**

Sex: f

**Desc**

	0	1	2
			
<b>MP [e]</b>	... see if he's there, will you?		James, where on earth
<b>MP [g]</b>	Bitte versuchen Sie es, vielleicht ist er dort.		James. . Wo sind Sie
<b>Desc [nv]</b>	<i>on the phone</i>		<i>to JB</i>
<b>Desc [g]</b>		<i>sharp breath</i>	

	..	3
		
<b>MP [e]</b>	have you been. I've been searching London for you.	007 is here, Sir.
<b>MP [g]</b>	bloß gewesen. Ich habe ganz London nach Ihnen abgesehen.	007 ist hier Sir.
<b>Desc [nv]</b>		<i>on the phone</i>

	4	5
		
<b>MP [e]</b>	He'll see you in a minute.	
<b>MP [g]</b>	Er wird Sie gleich reinrufen.	
<b>JB [e]</b>		Moneypenny, . what gives?
<b>JB [g]</b>		Moneypenny! . Wo brennt es denn ?
<b>Desc [nv]</b>	<i>to JB</i>	

6

<b>MP [e]</b>	Me. Given an ounce of encouragement. You never take me to dinner looking like
<b>MP [g]</b>	Bei mir. Ich brauche dringend eine kleine Aufmunterung. . Warum gehen Sie nicht
<b>JB [e]</b>	
<b>JB [g]</b>	



<b>MP [e]</b>	this James. You never take me to dinner, period.
<b>MP [g]</b>	mal mit mir in solcher Aufmachung aus James? . Mit mir gehen Sie nicht mal im

7

<b>MP [e]</b>	
<b>MP [g]</b>	Pullover aus.
<b>JB [e]</b>	I would, you know. Only M would have me court-martialled for
<b>JB [g]</b>	Ich könnte mir nichts

<b>JB [e]</b>	illegal use of government property.
<b>JB [g]</b>	Schöneres denken. Aber M würde mich vor ein Kriegsgericht stellen. . Wegen

8

<b>MP [e]</b>	Flattery'll get you nowhere. But don't stop tryin'!
<b>MP [g]</b>	Schöne Worte von der guten alten James-Platte,
<b>JB [e]</b>	
<b>JB [g]</b>	Missbrauch des Staatseigentums.

9

10

11




<b>MP [e]</b>		Now .
<b>MP [g]</b>	immerhin besser als nichts.	So!
<b>JB [e]</b>		Now, what's all this to-do
<b>JB [g]</b>	Hm.	Also was gibt's in der



12



<b>MP [e]</b>	Strangways, and it looks serious. We've been burning the air between
<b>MP [g]</b>	Strangways, und es sieht ernst aus. Wir haben den Äther zwischen
<b>JB [e]</b>	about ?
<b>JB [g]</b>	Firma.

<b>MP [e]</b>	here and Jamaica for the last three hours.
<b>MP [g]</b>	London und Jamaika in den letzten Stunden ganz schön knistern

	13	14	15
			
<b>MP [e]</b>			Oh. In you go.
<b>MP [g]</b>	lassen-		Rein mit Ihnen.
<b>JB [g]</b>		Ich hab's gern wenn's knistert.	
<b>Desc [nv]</b>	<i>beep from the intercom</i>		

	16	17	18
			
<b>JB [e]</b>	Don't forget to write!		
<b>JB [g]</b>	Ich schick' Ihnen mal 'ne Ansichtskarte.		
<b>Description [nv]</b>	<i>starts to exit</i>		<i>CUT. M'soffice</i>
<b>Description [g]</b>		<i>Moneypenny laughs</i>	

## 8.1.2 Analysis of the English source text

### 8.1.2.1 FIELD

The analytical category FIELD refers to the nature of the *Social Action* that is taking place in the text and the *Subject Matter* the encounter is about. As a first step towards their description, the discourse structure of the scene is determined.

The scene consists of six parts (cf. Roman numbers below) which can be distinguished with respect to participants, communicative tasks and topics (Arabic numbers refer to the segment numbers in the top rows of the transcript).

#### I

0: *See if he's there, will you?*

#### II

2-6: *James, where on earth ...*

embedded in the second part is the third:

#### III

3: *007 is here, Sir.*

#### IV

6-8: *You never take me to dinner ...*

#### V

10-12: *Now. ...*

#### VI

13,15,16: *[audiovisual signal] ...*



Only four of these parts (II, IV, V, VI) constitute the communicative encounter between the characters James Bond (JB) and Moneypenny (MP).<sup>105</sup> The remaining two (I, III) serve to contextualize the encounter with the situational context. According to the model of communicative encounters proposed by Edmondson (1981), an encounter can be subdifferentiated into exchanges. In the present text there are four parts which will be considered as exchanges. It is these exchanges that the analysis of linguistic and co-occurring visual structures mainly focuses on.

### **The exchange structure of the encounter:**

#### **II**

(2-6): MP informs JB of her search for him:



**MP:** *James, where on earth have you been. I've been searching London for you.*  
*[into the phone]* *007 is here, Sir*  
*[to JB]* *He'll see you in a minute.*  
**JB:** *Moneypenny, . what gives?*  
**MP:** *Me. Given an ounce of encouragement.*

#### **IV**

(6-8): MP complains that she and JB do not date and JB justifies himself.



**MP:** *You never take me to dinner looking like this James. You never take me to dinner, period.*  
**JB:** *[hums a tune overlapping with MP's utterance]*  
*I would, you know. Only M would have me court-martialled for illegal use of government property.*  
**MP:** *Flattery'll get you nowhere. But don't stop tryin'!*  
**JB:** *[kisses her on the forehead]*

<sup>105</sup> In order to offer a view as objective as possible on the discourse – unhindered by potential popular associations with the film characters – the participants are hereafter referred to by abbreviations of their names: JB for James Bond and MP for Moneypenny.

## V

(10-12): MP informs JB of the criminal case "Strangways".

**MP:** *Now.*

**JB:** *Now, what's all this to-do about?*



**MP:** *Strangways, and it looks serious. We've been burning the air between here and Jamaica for the last three hours.*

## VI

(13, 15, 16): In reaction to an audiovisual signal MP sends JB into the main office.



*[audiovisual signal]*

**MP:** *Oh. In you go. [OFF]*

**JB:** *Dont' forget to write!*

These four exchanges have different functions for the film text as a whole. Exchanges II, V, and VI serve the logical progression of the overall film narrative. They connect the present action with the preceding and the following events. In contrast, exchange IV can be seen as serving to convey the interpersonal relationship between the characters. The conversational phases of the encounter as they are realized by the exchanges can be described as follows:

Opening phase: II  
Core phase: IV, V  
Closing phase: VI

The core phase of the encounter thus encompasses exchanges which express both the logical expression of the overall narrative and the expression of the interpersonal relationship between the participants.

The *Social Action* and the *Subject Matter* of the communicative encounter between MP and JB can be described in the following way: The social action is a conversational encounter between colleagues at work. Their meeting is professionally motivated. As JB waits to be admitted to the main office, he and

MP briefly discuss their private relationship and MP informs him of business matters. She finally sends him into the main office.

This description of the social action, the subject matters and their realization through a sequence of exchanges is gleaned from the analysis of the verbal and visual structures present in the text involving the lexical, syntactic, textual and visual structural levels of the text.

### **Lexical means:**

The relevant lexical means are the granularity of lexical items, register-specific lexical choice, idiomatic phrases, and local and temporal deixis.

Granularity of lexical items: The level of specificity of lexical choice is low. There is little vocabulary which requires specific knowledge and expertise for comprehension (see register-specific lexis below).

Register-specific lexis: The use of lexical items of low specificity is interspersed with register-specific lexical items and expressions which denote the professional context of the speakers.<sup>106</sup>

12: *We've been **burning the air** between here and Jamaica.*

7: ***court-martialled** for illegal use of government property*

Idiomatic phrases: Idiomatic phrases are a typical feature of colloquial language use and have expressive quality. They convey the impression of a low level of formality and, as a consequence, interpersonal closeness. Furthermore, an affective involvement in the communicative task is communicated (see TENOR below).

2: *where on Earth have you been.*

5: *what gives?*

11: *what's all this to-do about?*

Deixis: The local and temporal deictic elements serve the construction of the geographical and temporal context of the immediate interaction. They refer to the immediate communicative situation ("Wahrnehmungsraum" ('perception space'), Ehlich 1982) (3: *here* (the office), 6: *in a minute*) as well as to the context of the imagined fictional reality ("Vorstellungsraum" ('imagination space'), Ehlich 1982) (2: *London*, 12: *Jamaica*, 6: *never*, 12: *for the last three hours*). The deictic elements also serve to connect the immediate interaction anaphorically and cataphorically with the overall narrative context (see MODE below).

### **Syntactic means:**

Process types: Material, mental and relational processes are used to express the superordinate process types of *action*, *signification* and *being* (Halliday 1994; Martin 1992). These are in almost equal distribution in the text.

Action processes: The material processes (2: *searching* London for you, 4: *see* you, 6: *take* me, 8: *get* you, don't stop, 12: *burning* the air, 15: *you go*) encode

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<sup>106</sup> Due to reasons of space, only few representative examples are given.

actions carried out by the participants. They signal the dynamic progression of the interaction between the participants and the underlying event structure of the film narrative.

Signification processes: Mental processes refer to the thoughts and emotional states and stances of the speaker. The propositions expressed by mental processes present the individual, subjective perspective of the speaker on a state-of-affairs (12: *looks serious*, 7: *you know*). The use of mental processes thus signals a specific – speaker subjectivity-oriented – type of meaning construction.

Processes of being: Relational processes realized by forms of the verb BE serve to establish comparatively static relationships of 'being' between propositions and participants (2: *007 is here*, 11: *what's all this to-do about?*). Their function of connecting two autonomous units supports the construction of the fictional reality.

Syntactic structure: The syntactic structure of the utterances is simple. There are no paratactical or hypotactical clause complexes. The simple structure of the utterances foregrounds the relations between the participants as expressed by the processes.

Tense and aspect: The discourse is predominantly in present tense. The present tense is combined with future tense (4: *He'll see you*), present perfect (2: *where ... have you been?*) and perfect progressive forms (2: *I've been searching*, 12: *we've been burning the air*). Their function is similar to that of the temporal deictic elements mentioned above (cf. Deixis above). The tense realizations and aspectual forms encode a temporal continuum in the discourse. They express the temporal relation of the action denoted in the verb phrase to the immediate present of the communicative encounter, and they indicate the duration of this action relative to the present. Hence, tense and aspect also support the temporal construction of the fictional reality.

### **Textual means:**

The scene consists of six distinct parts. Next to the four which constitute the encounter between JB and MP, there are two more (I: *See if he's there, will you?*, III: *007 is here, Sir.*) which relate the encounter between them to the larger context of the fictional reality.

### **Visual/textual means:**

The six parts of the scene are co-constructed by visual means. Each of the parts features a distinct visual-structural make-up which is represented in the images below by a simple structural mark-up: Where applicable, vertical lines indicate the left-right distinction between 'given' and 'new' information in terms of the information value (low and high, respectively) of the depicted elements. Arrows indicate action processes.

The different parts of the scene (I-VI, cf. above) are visually co-constructed by changes in the spatial positioning of the characters with respect to each other and by changes in the directionality of their actions. Those parts of the scene which refer beyond the visually present interaction (I, III) are marked by a spatial relation between the characters in which they do not face each other and in which their actions are not directed toward each other.

I



**MP:** See if he's there, will you?

II



**MP:** I've been searching London for you.

III



**MP:** 007 is here, Sir.

IV



**MP:** You never take me to dinner looking like this James.

V



**MP:** Strangeways, and it looks serious.

VI



**MP:** Oh. In you go. [OFF]

### 8.1.2.2 TENOR

The analytical category TENOR captures the interpersonal relations between the participants in the communicative encounter.

#### 8.1.2.2.1 Provenance

The temporal and geographical provenance of the speakers is unmarked: Standard British English of the 1960s.

#### 8.1.2.2.2 Stance

The analytical category *Stance* refers to the affective and intellectual attitude of the speaker towards him-/herself in the communicative situation, his/her interlocutors, the subject matters discussed, and the communicative task he/she is involved in.

The present scene features different expression of personal stance for each of the participants. Moreover, while MP's stance is presented in three communicative constellations (two on the telephone with unidentified interlocutors and one face-to-face with JB), JB is only presented in interaction with MP. Thus, her character is diversified by different realizations of stance vis-à-vis her interlocutors. The different communicative constellations serve to introduce contrasts in the interpersonal behavior of MP, which in turn characterizes her communicative behavior in the encounter with JB more precisely (see also MODE). Hence, MP's conversations on the telephone, which are each only represented by one move by MP (0: *See if he's there, will you?*, 4: *007 is here, Sir.*), serve as a foil for the conversation between MP and JB.

The stances of MP and JB are expressed through lexical choice, process realizations, tense and aspect shifts, deixis, mood and modality choices, ellipsis, discourse markers, repetition, the construction of a conversational frame, adjacency pairs and non-verbal communication.

#### Lexical means:

Lexical choice: The use of evaluative lexical items (12: *serious*), register-specific vocabulary (12: *burning the air*, 7: *court-martialled for illegal use of government property*), idiomatic and colloquial expressions (2: *where on earth*, 5: *what gives?* 8: *Flattery'll get you nowhere*, 8: *what's all this to-do about?*) and figurative language (6: *ounce of encouragement*<sup>107</sup>, 16: *Don't forget to write.*) express an everyday, relaxed and casual conversation-style<sup>108</sup> approach to a – by outward appearance – professionally defined communicative situation. MP and JB are presented as personally and affectively involved in the interaction with each other, their communicative tasks and the subject matters they discuss.

#### Syntactic means:

Process types: Mental and material processes (12: *looks serious*, 2: *been searching*, 12: *been burning*) encode processes of action and signification which cast MP as actively engaged in the communicative task and actively participating

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<sup>107</sup> This expression can be further characterized as a rhetorical device of understatement.

<sup>108</sup> "Casual conversation" may be defined as a stretch of talk "in which what is said is not overtly pre-determined in terms of topic or procedure" (House & Edmondson 1981: 35, cf. also Sacks et al. 1974).

in the events she tells about. The mental process offers her personal, subjective view of the situation.

Tense and aspect: Shifts from the present tense to present perfect and the use of progressive perfect realize narrative elements in the discourse (cf. Rehbein 1984, Smith 2003). They establish for MP the position of the 'storyteller'.

Deixis: The use of the speaker deictic elements I, ME and exclusive WE characterize MP as actively engaged in the communicative task. She appears as well integrated into the organizational structure of the secret service and the events she talks about. The use of speaker deixis by JB is more reduced (7: *I would*, 7: *would have me*). It characterizes him as comparatively passive in the discourse, the goal of actions, not claiming action and signification processes for himself.

Mood and modality: MP makes use of an imperative utterance (15: *In you go.*) and an exclamative one (2: *where on earth*).<sup>109</sup> Both signal her involvement in the progression of the interaction. JB's use of the modal verb WOULD (7: *I would, you know.*) describes him as comparatively tentative in the interaction with MP.

Ellipsis: With the use of the textual ellipsis (12: *Strangways, and it looks serious*) MP presupposes particular knowledge on the part of her addressee. The ellipsis refers to common ground (cf. Clark & Schaefer 1992) between the speaker and the hearer. In this particular case, the omitted information is retrievable from the extralinguistic but not immediately present situation. The allusion to common ground through the ellipsis indicates the existence of an in-group and signals MP's status as an insider.

### **Textual means:**

Lexical repetition: Local repetition (Biber et al. 1999) across turns (10: *Now*. 11: *Now, what's all this to-do about*) signals the involvement of the present speaker into the discourse and an identical orientation of attention with the hearer (cf. Tannen 1989; Johnstone 1994).

Frame construction: YOU KNOW realizes a right dislocated frame for the elliptical clause I WOULD (7: *I would, you know.*). According to Rehbein (2004) this use of YOU KNOW can be classified as a "nachgeschaltete Matrixkonstruktion" which functions to synchronize the mental processes between speaker and hearer (p. 261, cf. also Schiffrin 1987) and to evoke common ground between them. *Matrixkonstruktionen* are complement clause constructions featuring a mental process verb. Their use is an attempt by the speaker to control the hearer's processing of the propositional content of the clause with which it is connected (Rehbein 2004: 261).<sup>110</sup>

YOU KNOW refers anaphorically to the elliptical clause I WOULD and focuses the hearer's attention on the implicated information 'take you to dinner'. Its

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<sup>109</sup> 16: *Dont' forget to write!*, 8: *don't stop tryin'*. are also imperative utterances. Since these are formulaic idiomatic expressions, I do not consider them as functioning as orders directed at the hearer.

<sup>110</sup> YOU KNOW can also be described as discourse marker in the sense of Schiffrin (1987). The functional descriptions of YOU KNOW as complement clause construction (*Matrixkonstruktion*) and discourse maker by Rehbein and Schiffrin, respectively, coincide to a large degree. Moreover, Rehbein argues that complement clause constructions have a tendency to enter processes of de-grammaticalization and to become fixed expressions which is surely true in the case of YOU KNOW (cf. Biber et al. 1999 for corpus evidence).

use in this utterance appears as a comparatively indirect, and for this reason, rather evasive reference to common ground associated with intimacy.

Adjacency pairs: On the textual level, MP's stance towards JB is expressed through adjacency pairs. In two cases (7, 8 below) she provides response moves which are unconventional and unexpected with regard to the content which would normally be expected to be elicited by the preceding turns and utterances.

6: JB: *Money penny, . what gives?*

7: MP: *Me. Given an ounce of encouragement.*

7: JB: *I would, you know. Only M would have me court-martialled for illegal use of government property.*

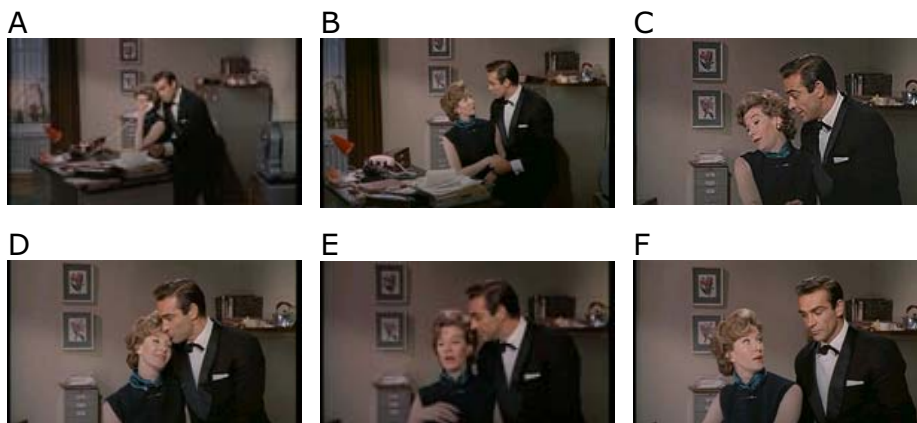
8: MP: *Flattery'll get you nowhere. But don't stop tryin'.*

The utterances realize word-plays and irony – instances creative use of language, which, according to Quirk et al. (1985: 1415), can be classified as "emotive expressions" encoding the affective stance of the speaker.

Non-verbal communication: JB hums a tune in response to – and partly overlapping with – MP's utterance in (5). The humming continues throughout MP's subsequent utterance (6) – a complaint. This form of non-verbal communication indicates an affective stance which can be characterized as either not taking the interlocutor seriously or as a strategy of refusing to listen (see also below visual/textual means).

#### **Visual means:**

MP's attitude towards JB is visually expressed by a continuous turning towards and away from him.



#### **Visual/textual means:**

Visual information is used to underpin the segmentation of the utterances and the partitioning of the interaction between the participants. The expression of stance through discourse markers and lexical repetition is complemented by the co-occurring visual information.



Discourse markers: The use of NOW (10) and OH (12) characterizes MP as actively structuring the discourse, claiming the control over its thematic progression for herself. Through this she appears as responsible for aligning her own and JB's attention and orientation in the discourse (cf. Schiffrin 1987).<sup>111</sup>



**MP: Now.**

NOW marks MP's shift of attention towards an upcoming idea (cf. Schiffrin 1987). This is emphasized by her moving away from her interlocutor. The body movement can be classified as "eigenlinig-komitative" non-verbal communication, i.e. non-verbal communication which supplements and strengthens the force of the utterance (Rehbein et al. 2001).

In the present case, the distinction between NOW as discourse marker and the homonymous time adverb can only be made through the analysis of the visually presented non-verbal communication.

OH expresses MP's information management in the discourse in reaction to an external trigger. According to Schiffrin (1987), OH indicates a new focus in the speaker's attention which then becomes a candidate for the hearer's attention.



[audiovisual signal]

**MP: Oh.** In you go. [OFF]

Again, it is only through the accompanying visual information that the meaning of OH – which could also express disappointment or annoyance (such as for example in: *Oh, come on.*) – becomes clear. Both OH and NOW serve the speaker to create a joint focus of attention for herself and the hearer.

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<sup>111</sup> For a different analysis of OH see Fraser (1999), who rejects discourse maker status for "interjections" because they "do not signal a relationship between segments" (p. 942-943).

Lexical repetition:



You never take me to dinner looking like this James.



**You never take me to dinner, period.**

Repetition in discourse signals the speaker's personal involvement in the communicative event in that it is a means of putting special emphasis on the repeated information (cf. Tannen 1989, Johnstone 1994). In the instance above, the repetition is also clearly used as a creative means. Rather than expressing the same meaning twice, the second issuing of the complaint expressed by **YOU NEVER TAKE ME TO DINNER** is twisted into a self-addressed comment through the addition of **PERIOD** at the end, which suggests that the speaker has come to terms or made a decision with regard to a particular issue. The utterance communicates an air of (mock) hopelessness. This interpretation is supported by the visual information. The speaker's non-verbal communication underscores the meaning of the utterance: Head and body are turned away from the addressee of the utterance, she shrugs her shoulder and has her eyes half closed while she speaks.

Considering the role of visual information for the expression of speaker stance by JB, it becomes particularly obvious that communicative behavior in film cannot be deduced from the linguistic means used alone. On the whole, JB makes fewer verbal contributions to the discourse than MP. His utterances are equally marked by colloquialisms and a casual attitude towards the communicative situation and the subject matters. But they also portray him as more passive, evasive and less straightforward than MP. In contrast, the visual information characterizes him as very direct and intimacy-seeking. It is his non-verbal behavior which opens up an intimate dimension in the encounter, and which makes the introduction of intimacy-associated discourse topics possible in the first place: JB seats himself on the edge of MP's chair, and with his very first utterance (5: *Money Penny, what gives?*), takes her hand. This offers the interlocutor the possibility for either a professionally-oriented or a personally-oriented response move.

JB takes MP's hand



**JB:** Money Penny, . what gives?

Taking her hand while he speaks is an act of non-verbal communication (*eigenlinig-komitativ*). It supplements the utterance by activating the gesture's meaning potential. JB continues the bodily display of an affective attitude by simulating a dance and by kissing MP on the forehead.

'Dancing'



**MP:** You never take me to dinner looking like this James. You never take me to dinner

Kiss



According to Rehbein et al. (2001) the latter two acts of non-verbal communication can be classified as "ostentativ", i.e. non-verbal communication which has meaning independent of co-occurring utterances and autonomous communicative functions.

#### 8.1.2.2.3 Social Role Relationship

The analytical category *Social Role Relationship* describes the relationship between the participants in terms of its symmetry or asymmetry, i.e. the linguistic expression of solidarity or power. The scene features three interpersonal constellations: 1. MP and an interlocutor on the telephone, 2. MP and her superior on the telephone, and 3. MP in face-to-face interaction with JB. Again, it is only the third which will be analyzed at length.

The position roles of both characters are determined by their professional affiliation with the same organization. As far as the information available suggests, they belong to different occupational groups. While MP is characterized as a "secretary" by the visual environment (anteroom to the main office) and the actions of providing telephone services and announcing visitors (*4: 007 is here, Sir.*), the role of JB within the organization is yet unidentified: He is a co-working visitor to the office. Their situation roles are determined by the typical interactions expected in an anteroom, i.e. the announcement of the visitor by the secretary and the visitor waiting to be admitted. Both these actions are carried out in the scene, however, the prototypical realization of the situation roles is differentiated by the co-activating of the superordinate role behavior of 'heterosexual man' and

'heterosexual woman' and the playing out of an obviously previously established interpersonal closeness.

The *Social Role Relationship* is linguistically expressed by lexical choice, ellipsis, reduced pronunciation and contraction, vocatives, discourse markers and non-verbal communication.

**Lexical means:**

Lexical choice: The use of idiomatic and colloquial expressions (8: *Flattery'll get you nowhere*, 15: *In you go*, 16: *Don't forget to write*.) presupposes the existence of common ground between the participants which licenses the mutual use of casual and informal speech (see *Social Attitude*). It characterizes the relationship as symmetrical.

**Syntactic means:**

Ellipsis: In general, the use of ellipsis reduces informational redundancy in discourse by invoking common ground from which the presupposed information is to be retrieved (cf. Biber et al. 1999). The common ground may relate to the physical surroundings and the preceding discourse of the communicative situation. The textual ellipsis (12: *Strangeways*, ...) neither refers to the situation or the preceding context, but to the shared knowledge of a particular in-group. MP's use of the textual ellipsis thus expresses her acknowledgement of shared group membership.

Reduced pronunciation and verb contraction: These are features of spontaneous spoken speech associated with informal communicative settings in which precise articulation and pronunciation are not possible or not necessary (Biber et al. 1999) (8: *tryin'*, 2: *I've*, 8: *Flattery'll*, see *Social Attitude*). In the present encounter, the mutual use of reduced pronunciation and contraction is seen as expressing a relationship of equality between MP and JB.<sup>112</sup>

Vocatives: The address forms are realized by the first name (2, 6: *James*) and the surname without title (5: *Moneypenny*). No social roles are indicated by the address forms. The combination of first and surnames is rather individualistic and, therefore, should be seen as based on mutual consent. The vocatives thus express a relationship characterized by the absence of (the execution of) social and/or professional authority.

**Textual means:**

Discourse markers: The use of the discourse markers (10: *Now.*, 15: *Oh.*) expresses an active and authoritative structuring of the progression of the discourse by MP. It is she who introduces topic shifts and draws attention to new information.

**Visual means:**

The continuous display of consensual body contact expresses consensual intimacy and, thus, a symmetrical relationship between the interlocutors.

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<sup>112</sup> This is supported by the use of the contrastive evidence of the non-contracted form, of BE (4: 007 *is here*, *Sir.*) in the exchange on the telephone. In that case, the honorific SIR additionally indicates an asymmetrical, hierarchical relationship between the interlocutors. According to Quirk et al. (1990), the use of the honorific SIR by a woman can only occur in communicative constellations in which the woman "is in a recognizably serving role" (p. 470).

#### 8.1.2.2.4 Social Attitude

The analytical category *Social Attitude* captures the degree of social distance between the interlocutors, measured in terms of the level of formality that their use of linguistic means expresses. Following Joos (1961) and House (1981), the styles of speaking in the communicative encounter between JB and MP can be classified as 'casual-intimate'. The participants are depicted in an interpersonally close social relation marked by informal (communicative) behavior, in which a degree of implicitness of reference is licensed by the mutual assumption of common ground. Again, the relation between JB and MP is realized in contrast to the level of formality expressed in the two other communicative constellations. The interpersonal closeness and informality between JB and MP are expressed by register-specific, colloquial and idiomatic lexical choice, reduced pronunciation and verb contraction, ellipsis, vocatives and non-verbal communication.

#### **Lexical means:**

Register-specific lexical choice: (12: *We've been burning the air*, 7: *court-martialled for illegal use of government property*.) expresses reference to common ground and indicate the existence of an in-group based on shared knowledge between the participants.

Colloquial and idiomatic expressions mark informal language use. Informal language use occurs in interpersonal relationships in which the interlocutors are friends, or in relationships in which the speaker desires or imagines that there is a mutual feeling of closeness. In the present encounter, both participants employ colloquial lexical items, collocations and idiomatic expressions (5: *what gives?* 6: *period*, 11: *what's all this to-do about?*, 16: *Don't forget to write*).

#### **Syntactic means:**

Ellipsis: Reduced surface forms are a typical feature of conversational discourse, where explicitness and specification of meaning is abandoned in favor of a greater reliance on mutual understanding on the basis of common ground (Biber et al. 1999). The use of the textual ellipsis, accordingly, (12: *Strangways*, ...) expresses informality because it conveys the speaker's conviction of the existence of shared background knowledge which allows for a degree of implicitness in the utterances. The post-finite ellipsis (7: *I would, you know*) presupposes common ground in terms of a joint, attentive involvement in the communicative situation.

Vocatives: The address forms JAMES and MONEYPENNY express familiarity and reflect an informal relationship between the interlocutors.

Reduced pronunciation and verb contraction: Reduction phenomena are a typical feature of language use in casual and intimate communicative encounters.

#### **Visual means:**

The continuous uncontested physical closeness indicates an intimate personal relationship.

Non-verbal communication: The acts of non-verbal communication – both, supporting an utterance (A) and autonomous contributions (B, C, D) to the discourse – overtly express a confidential and intimate relationship between the participants.

A



B



B1



B2



C



D



D1



D2



To sum up, there is a discrepancy between the level of formality denoted by verbal means – to be classified as 'casual-intimate' – and the one expressed by visual information, which conveys an heightened degree of informality and has to be categorized as 'intimate' only.

#### 8.1.2.2.5 Participation

The analytical category *Participation* consists of two subcategories: The *Diegetic Participation* captures the communicative encounter depicted onscreen in terms of the participants' mutual participation elicitation and hearer involvement in the communicative interaction. The *Extradiegetic Participation* describes the communication between the extramedial audience and the onscreen action with respect to the possibilities of affective audience involvement into the onscreen action provided by the linguistic and visual means employed in the film text.

##### 8.1.2.2.5.1 Diegetic Participation

The diegetic level of communication is realized by linguistic and non-verbal means which are typical of dialogic exchanges. These means facilitate interaction and express a shared situative context.

### **Syntactic means:**

Pronouns: Non-specific reference through personal pronouns (4: *He'll see you*, 12: *We've been burning the air*) and deictic demonstratives (11: *all this to-do*) indicates that the speaker assumes shared knowledge of the intended referent. The use of the pronominal forms is intended to activate the corresponding knowledge in the hearer.

Vocatives: Nominal forms of address occur in initial and final position (2: *James, where on earth* 5: *MP, what gives?*, 6: *You never take me to dinner looking like this James*). Beyond the identification of the addressee of the utterance, vocatives have a discourse management function (Biber et al. 1999): In initial position they serve as attention getters, i.e. to elicit the interlocutor's attention; in final position, they express a reinforcement of the social relationship the speaker assumes to have with the addressee.<sup>113</sup>

Hearer deixis: The hearer deictic element YOU serves to involve the interlocutor directly in the ongoing interaction.

Ellipsis: The use of the textual ellipsis in (12) is intended to activate shared knowledge. The post-finite ellipsis (7: *I would, you know*) is an ellipsis across turns. It presupposes shared knowledge of the preceding propositional content and functions to elicit a joint orientation towards it.

### **Textual Means:**

Mood choice: Declarative, interrogative and imperative utterances realize utterance-and-response sequences in which the participants alternate as speakers.

Adjacency pairs: Some of the switches in mood across turns realize adjacency pairs. Adjacency pairs are conventionalized pairings of utterance-response sequences with a high probability of co-occurrence. According to Grice's (1975) conversational principles and maxims, participants in the discourse are expected to comply with this expectation and make the appropriate contribution to the discourse. In other words, the speaker expects from the hearer a response utterance which meets with his/her expectations. Adjacency pairs constrain the licensed response options and thereby the possibilities for the linear sequencing of the exchange.

### **Question-Answer:**

5: JB: *Money penny, . what gives?*  
6: MP: *Me. Given an ounce of encouragement.*

11: JB *Now, what's all this to-do about ?*  
12: MP: *Strangeways, and it looks serious.*

### **Illocution sequence COMPLAIN-JUSTIFY-CONDONE (cf. Edmondson 1981):**

6: MP: *You never take me to dinner looking like this. You never take me to dinner, period.*  
7: JB: *I would, you know. Only M would have me court-martialled for*

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<sup>113</sup> Rehbein (1979) argues for an even more precise definition of the discourse management function of vocatives. They are a means of actively controlling the hearer's speech act reception by the speaker ("Hörersteuerung" or "guidance of the hearer").



*illegal use of government property.*

8: MP: *Flattery'll get you nowhere. But don't stop trying.*

Discourse markers: Discourse markers (7: *you know*, 10: *Now*, 15: *Oh*) signal to the hearer the evolving process of discourse construction by the speaker. The speaker expresses an interactive relationship between him-/herself, the addressee and the subject matter of the discourse (Schiffrin 1987). Through the use of YOU KNOW, NOW and OH the speaker shifts his/her and the hearer's attention to upcoming information – in the case of YOU KNOW this also involves a refocusing of the previous information and an explicit attempt at the alignment of the hearer's mental processes.

**Visual/textual means:**

Discourse markers: The new foci of orientation introduced by NOW and OH are co-constructed by visual means. In the case of NOW the transition to a new discourse topic is underscored by the act of turning away from the interlocutor.



In the case of OH below, a change in the communicative situation – an audio-visual signal – is presented as the new important information.



8.1.2.2.5.2 *Extradiegetic Participation*

The category *Extradiegetic Participation* captures the communication between the extramedial audience and the onscreen action. The kind and degree of affective involvement of the audience into the communicative encounter between JB and MP can be deduced from the linguistic and visual realization of phenomena which figure as the interfaces between the extratextual reality and the display of social (inter)action onscreen. These interfaces serve as access venues for the audience's



participation in the film. The linguistic phenomena and means to be considered in the analysis are listed below (reproduced from section 6.3):

Participation Phenomena:

- a. Specific types of communicative situations which are specific to a particular genre, series of films or any other set of texts, and which are therefore expected by the audience.
- b. Lexical items and syntactic structures which are marked or non-standard usage in the immediate context of their occurrence or the film text as a whole. They are typically employed for the realization of standard dramatic effects such as irony and horror.
- c. Lexical items and syntactic structures which are marked or non-standard usage in their combination or in co-presence with visual information.
- d. The linguistic realization of specific conversational topics and contents which carry affective meanings in the situational and cultural context of reception.
- e. Linguistic units which refer to the different levels of information between the audience and the onscreen characters. Different levels of information are fundamental to establishing the dramatic effect of suspense.
- f. Linguistic means which are associated with referential explicitness (cf. Biber 1988; Doherty 1999; House in press a). In naturally occurring conversation, implicit, situation-dependent reference is more usual, so that one may conclude that explicit reference (for example denotatively precise lexical expressions, deictic elements but also repetitions and visual-verbal redundancy) is explicitly directed at the audience as a means of focusing them on a particular piece of information.<sup>114</sup> Explicit verbal reference can be made either to preceding or following verbal and visual information, to co-present visual information, or to the situative and cultural context of the fictional world.

In the present text, the linguistic and visual structures realize the following phenomena: a) genre-specific expectations, b) use of linguistic means and visual structures for the realization of dramatic effects, d) relevant topics in the cultural context of the situation of reception, e) distinct levels of information for the diegetic characters and the audience, and f) explicit reference. In what follows, the relevant linguistic means and visual structures for the realization of these phenomena will be listed. The participation phenomena realized by the single linguistic and visual means are given in brackets.

**Lexical means:**

Register-specific lexical items (a, e): Register-specific lexical choice (*12: burning the air* and *7: court-martialled for illegal use of government property*) reflects the construction of an in-group which is associated with the professional fields of secret services and government agencies. This activates genre-specific

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<sup>114</sup> Cf. also the related distinction between specific and non-specific (opaque) reference, proposed by Lyons (1977).

expectations of the film genre "spy thriller". The utterance *We've been burning the air between here and Jamaica* (12) refers back to previous scenes. It reactivates the audience's knowledge of already given information.

Idiomatic and colloquial expressions (b, d): Predominantly colloquial lexical choice (5: *what gives?*, 11: *what's all this to-do about?*) expresses easy-going, informal and relaxed speaker attitudes towards the subject matters under discussion. This kind of speaker stance is likely to have either positive or negative connotations with the individual viewer, informed by the prevalent communicative norms in the recipient's culture.

Local deixis (f): Local deictic elements (2: *London*, 3: *here (the office)*, 12: *here (London)*, 12: *Jamaica*) serve the explicit definition of the fictional world, i.e. the so-called 'imagination space' ("Vorstellungsraum", cf. Ehlich 1987) of the audience. They facilitate to locate the onscreen action in relation to the viewer's own geographical location. The place names activate the audience's general knowledge of the world in which locations may also carry culture-specific connotations. For example, in the case of "Jamaica", the Western European understanding is likely to be shaped by associations of Caribbean exotic and corresponding life styles.

Temporal deixis (f): Temporal deictic elements refer to the progression of time in the fictional reality. They serve to foreshadow subsequent action (4: *in a minute*) and to indicate parallel, simultaneous activity (12: *for the last three hours*). Time reference is crucial for the film narrative because it is one of the prime means to create dramatic suspense. As the progression of time is a universal human experience, any explicit mention of temporal relations foregrounds the temporal progression of the film's narration.<sup>115</sup> Utterance (4) *He'll see you in a minute* puts the audience in a state of anticipation of the action to come.

### **Syntactic means:**

Ellipsis (e): The textual ellipsis (12: *Strangways,...*) encodes different levels of information between the audience and the participants in the diegetic communicative situation. In contrast to JB and MP, the audience already knows who "Strangways" is and what happened to him.

Personal deixis (e): As it is not possible to disambiguate the non-specific pronominal reference HE (4: *He'll see you*) and the name M (7: *M would have me*) on the basis of the information available, a difference in levels of knowledge between the onscreen participants and the audience is established, which creates dramatic suspense.

Vocatives (f): The address forms serve to identify the participants for the audience.

### **Textual means:**

Idiomatic, colloquial and figurative expressions (b): On the textual level, their creative use realizes word plays and irony. These are conventional dramatic effects functioning to elicit affective involvement in the onscreen action.

Discourse type (d): The encounter between JB and MP can be characterized as a 'flirtation on the occasion of a common work-related workplace encounter between colleagues'. A flirtation is an everyday, yet special, type of discourse. As

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<sup>115</sup> See Bordwell et al. (1996) on the importance of signaling temporal continuity, and the "countdown" towards "deadlines" and "appointments" as a narrative means.

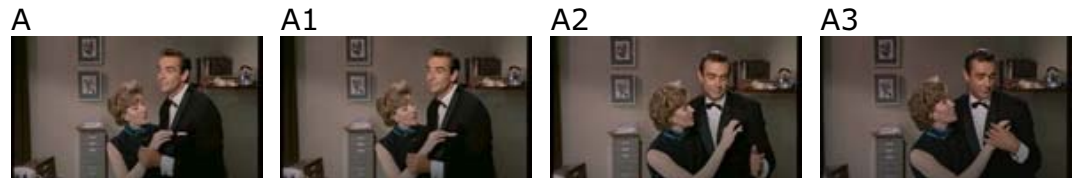
such, it is easily recognized and has a high affective quality for those involved and those witnessing. It activates the individual viewer's personal emotional experience, which promotes the possibilities of identification with one of the participants and the viewer's projection into the encounter. Moreover, since a flirtation is a comparatively private communicative event, the quality of peeping in on such an exclusive and intimate type of encounter is likely to heighten the affective dimension for the audience.

**Visual means (b):**

The encounter realizes an instance of male and female heterosexual role behavior. The physical interaction contrasts with the office setting and the type of professional activity the participants are involved in. The expression of intimacy in a public and non-private context is non-standard behavior and as a result, elicits particular audience attention.

**Visual/lexical means:**

Demonstrative pronoun (f, d):



You never take me to dinner looking like **this** James.

The pointing quality inherent in the demonstrative pronoun THIS is visually supported by the accompanying movement of MP's hand toward the handkerchief in the breast pocket of JB's dinner jacket to which THIS refers. The movement itself is accompanied by a slight closing up camera movement, which focuses MP's action.

Ehlich (1982: 118) describes the use of deictic elements as a means to transform "potentielle Wahrnehmbarkeit" ('perceptibility') into "aktuelles Wahrnehmen" ('perception'). The use of the deictic pronoun orients the addressee in the shared physical context ("Wahrnehmungsraum" ('perception space'), Ehlich 1982). The visual information disambiguates the opaque reference THIS, and the audience's attention is explicitly oriented towards one particular piece of information in the physical environment of the communicative encounter. In addition, the reference to JB's formal evening dress evokes among other things a particular kind of social class, a particular historical time, and particular kinds of social activity. These are likely to have connotations and reverberations in the cultural context of the recipients and may activate positive or negative associations in the individual viewer.

**Visual/textual means:**

Lexical repetition (f): Local repetition is a means of focusing the audience on a particular piece of information. In the case of NOW in (10) and (11), the repetition and the accompanying shift in the directionality of the participants' actions direct the audience's attention to the transition to a new discourse topic.

A



**MP: Now.**

A1



**JB: Now, what's all this to-do about?**

Discourse marker (f): OH serves to orient the audience's attention towards the visually presented information. It integrates the visual signal (the changing lights) into the discourse.

B



[a bell]

B1



**Oh.** In you go. [MP: off]

### 8.1.2.3 MODE

The analytical category MODE captures the discourse's textual make-up in terms of cohesion and coherence and its relative 'writteness' and 'spokenness'.

#### **Lexical means:**

Idiomatic and colloquial lexical choice is typical of spoken conversation.

#### **Syntactic means:**

Local deixis: The local deictic elements refer to the immediately present communicative situation (*Wahrnehmungsraum*) (3: *here*) and to the fictional reality beyond the immediate communicative situation (*Vorstellungsraum*) (2: *London, 12: here [London], 12: Jamaica*). They function to create a consistent geographical fictional world in which the present communicative situation is allotted a particular, definite location. The place names additionally establish cohesive connections between the fictional reality and the extratextual reality of the audience, and they also refer anaphorically to previous scenes (12: *Jamaica*). The non-lexical deictic elements (3, 12: *here*) are disambiguated by the visual context of their occurrence or refer anaphorically to explicit lexical local deictic elements.

Temporal deixis, tense and aspect: The use of present, perfect, future tense, progressive aspect and time adverbials serves the construction of the temporal frame of the film narrative, and functions to designate the present encounter a definite place on this temporal continuum. The temporal deixis connects the

immediate interaction anaphorically and cataphorically with the overall narrative context. Time adverbials and tense forms express the dynamic and logical (chronological) progression of the action by referring back to previous action, indicating simultaneous and parallel action, and announcing following ones. The progressive forms express the notion of the duration of actions, thereby establishing cohesive connections between the past and the present (2: *been searching London*, 12: *we've been burning the air for the last three hours*), and indicating actions as in the process of being carried out.

Personal deixis: Non-specific reference by means of third person pronouns (4: *He*) and unidentified person's names (7: *M*) presupposes common ground between the interlocutors. This is typical of communicative encounters in which the participants can fall back on an amount of shared knowledge. Also, in spoken discourse, elaboration and specification of meaning are usually avoided in order to save time and effort, and to ensure a dynamic progression of the interaction (Biber et al. 1999).

Demonstrative pronouns: The indefinite pronoun THIS (11: *this to-do*) refers anaphorically and exophorically back to previous information, which contributes to the cohesion across scenes.

Speaker-hearer deixis: I, YOU, WE refer directly to the participants in the communicative encounter. Their use is typical for spoken discourse in dialogic form.

Vocatives: The use of vocatives is a typical feature of spoken discourse. The vocatives furthermore provide the participants with names. They form an explicit link between verbal and visual information.

Syntactic structure: The discourse predominantly consists of short, paratactically organized utterances (for example 2: *James, where on earth have you been. I've been searching London for you.*). With the exception of BUT (8: *Flattery'll get you nowhere. But don't stop tryin'.*) and the restrictive use of ONLY (7: *I would, you know. Only M would have me*), the logico-semantic relations between the utterances are not explicitly lexicalized. The contrastive connective BUT and the restrictive ONLY function to counteract hearer expectations raised by preceding information or the extralinguistic communicative situation (Biber et al. 1999).

Implicit conjunction between utterances results in a grammatical reduction of the surface structure. In the context of implicit conjunction and predominantly paratactic information organization, the explicitly connected constructions stand out in the discourse. As a consequence, the meanings expressed by them are foregrounded. Both, the use of BUT and implicit conjunctive relations are a frequent feature of spoken discourse (Biber et al. 1999).

Ellipsis: Ellipsis is a means of grammatical reduction, which results in reduced surface structure. For this reason, ellipsis is a typical feature of spoken discourse (Biber et al. 1999). The textual (12) and post-finite ellipses (7) realize cohesive functions: The textual ellipsis refers to previously given information, creating cohesion across scenes; the post-finite ellipsis expresses cohesion across turns.

Reduced pronunciation, verb contraction: Phenomena of phonological reduction are typical of informal types of spoken discourse. They are used as effort-saving devices in speech production. Verb contraction also functions as a means of creating cohesion between words (Biber et al. 1999).

### **Textual means:**

Mood choice: Declarative, imperative and interrogative utterance patterns realize utterance-response sequences – the prototypical organizational feature of spoken discourse in dialogic form.

Adjacency pairs: Adjacency pairs are conventionalized pairings of types of utterances and responses. Because of the high likelihood of the co-occurrence of the constitutive moves, adjacency pairs establish connective links between turns (cf. the examples in *Diegetic Participation* above).

Discourse markers: The instances of NOW, OH and YOU KNOW are markers of discourse structure and indicate the online processing of information and planning of speech production. According to Halliday & Hasan (1976), discourse markers are "continuatives" which express the cohesive transition between parts of the discourse, i.e. the subject matters. In addition, OH and NOW realize cohesive ties between visual and verbal information (see the examples in *Extradiegetic Participation* above).

Lexical repetition, structural parallelism: Local repetition is a means of iconic connection between turns (10: *Now*. 11: *Now, what's all this to-do about*) and utterances (6: *You never take me to dinner looking like this James. You never take me to dinner, period.*). The parallel structures result in informational redundancy in the discourse, which is considered as relieving the speaker of the pressures of online planning in spoken discourse (cf. Biber et al. 1999).

Discourse type: The encounter with MP is the continuation of a thematic thread initiated in the previous scene which presents JB in interaction with and his behavior towards women. The encounter is also a continuation of the display of male and female role behavior. It triggers and stabilizes the viewer's affective involvement in the text.

Three communicative constellations: The communicative constellations realize three different interpersonal relationships. Although it has not been presented here in any detail, the communicative encounter between JB and MP is constructed in contrast with the other two communicative constellations. These serve as a foil for the realization of the subject matters, the interpersonal relationship and the discourse structure in the constellation JB – MP.

Non-verbal communication: JB's humming throughout MP's utterance in (6) is an instance of overlapping turns which is typically associated with spoken discourse.

### **Visual means:**

The scene is structured by visual means. Different camera perspectives and different types of structural make-up are used to frame the different parts of the discourse visually (see FIELD above (p. 180), the different camera perspectives are also discernible there).

The encounter opens and closes with only visually presented information. No formal greeting and only an informal leave-taking are lexicalized.

Opening:



**MP:** James,  
where on earth  
have you been.

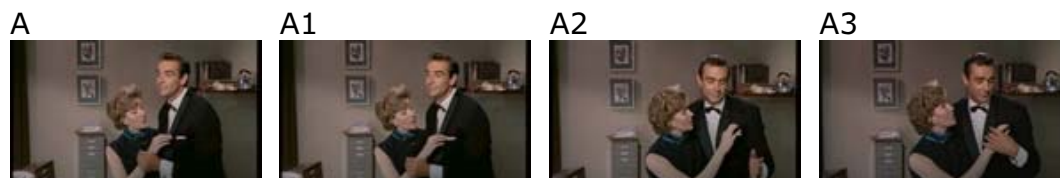
Closing:



**JB:** Don't forget  
to write.

**Visual/lexical means:**

Demonstrative pronoun: The deictic use of the demonstrative pronoun THIS in (6) forms a cohesive link between the visual information and the propositional content of the utterance.



like **this**

MP's reaching out for the referent of THIS enhances the redundancy between visual and verbal information. Non-specific pronominal reference to objects and persons present in the communicative situation and pointing gestures are typical of spoken discourse in face-to-face encounters (cf. Biber 1988; Schwitalla 1997).

**Visual/textual means:**

The information relevant for the thematic progression of the discourse and the film narrative is made explicit by the combination of the linguistic structures with visual means.

Opening: "he" arrives



**MP:** ... see if he's there, will you?

Announcement of future action:



**MP:** 007 is here, Sir.

Shift to personal matters:



**JB:** Moneypenny, what gives?

Shift to business matters:



**MP:** Now.

Closing:



Oh. In you go. [**MP:** off]

### 8.1.3 Analysis of the German translation

#### 8.1.3.1 FIELD

Like the English original text, the German-translated version of the scene consists of six parts, four of which constitute the communicative encounter between MP and JB. The opening (II), core (IV, V) and closing (VI) phases of the encounter are the same. The exchange structure of the encounter, however, differs. The caesura between parts V and VI of the English source text is blurred by an



additional turn by JB, realizing a re-initiating move (see also *Participation* and *MODE* below).

**The exchange structure of the encounter:**<sup>116</sup>

**II**

(2-6): MP informs JB of her search for him:

**MP [g]:**                    *[sharp breath]*  
Ø



*James. . Wo sind Sie bloß gewesen. Ich habe ganz London nach Ihnen abgesehen.*

James, where on earth have you been. I've been searching London for you.

*[into the phone]*        *007 ist hier Sir.*  
007 is here, Sir.

*[to JB]*                    *Er wird Sie gleich reinrufen.*  
He'll see you in a minute.

**JB [g]:**                    *Money Penny! . Wo brennt es denn?*  
MP, . what gives?

**MP [g]:**                    *Bei mir. ich brauche dringend eine kleine Aufmunterung.*  
Me. Given an ounce of encouragement.

**IV**

(6-9): MP complains that she and JB do not date and JB justifies himself.



**MP [g]:**                    *Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James? . Mit mir gehen Sie nicht mal im Pullover aus.*  
You never take me to dinner looking like this James. You never take me to dinner, period.

**JB [g]:**                    *Ich könnte mir nicht Schöneres denken. Aber M würde mich vor ein Kriegsgericht stellen. Wegen Missbrauch des Staatseigentums.*

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<sup>116</sup> Below the German utterances, in smaller type size and gray color, are those of the English source text.

I would, you know. Only M would have me court-martialled for illegal use of government property.

**MP [g]:** *Schöne Worte von der guten alten James-Platte, immerhin besser als nichts.*

Flattery'll get you nowhere. But don't stop tryin'!

**JB [g]:** *[kisses her on the forehead] Hm.*  
Ø

## V

(10-14): MP informs JB of the criminal case "Strangways".

**MP [g] :** *So!*  
Now.

**JB [g]** *Also was gibt's in der Firma.*  
Now, what's all this to-do about?



**MP [g]:** *Strangways, und es sieht ernst aus. Wir haben den Äther zwischen London und Jamaica in den letzten Stunden ganz schön knistern lassen-*

Strangways, and it looks serious. We've been burning the air between here and Jamaica for the last three hours.

*[audiovisual signal]*



**JB [g] :** *Ich hab's gern wenn's knistert. [OFF]*  
Ø

## VI

(15-17): MP sends JB into the main office.



- MP [g]:** *Rein mit Ihnen. [OFF]*  
Oh. In you go. [OFF]
- JB [g] :** *Ich schick Ihnen mal ne Ansichtskarte.*  
Dont' forget to write!
- MP [g]:** *[laughs]*  
Ø

The *Social Action* and the *Subject Matter* of the encounter are the same as in the source text – namely, a conversational encounter between colleagues at work. Their meeting is professionally motivated. While JB waits to be admitted to the main office, he and MP briefly discuss their private relationship, and she informs him of business matters. She finally is signaled to send him into the main office.

On the lexical level, the social action and subject matter are expressed by register-specific lexical choice, idiomatic expressions and colloquial lexical choice, evaluative lexical items and collocations, foreign language lexis and deixis.

#### **Lexical means:**

Granularity of lexical items: The level of specificity of lexical choice is low. There are few instances of register-specific vocabulary. However, these do not require special knowledge for comprehension.

Register-specific lexis: The use of register-specific lexis follows the source text. The lexical items and expressions denote the institutional context in which their encounter is embedded, the professional affiliation of the speakers, and indicate casual 'shop talk'.

- 12: *Wir haben **den Äther** zwischen London und Jamaika in den letzten Stunden ganz schön **knistern lassen**.*
- 7: *...mich **vor ein Kriegsgericht stellen**. . Wegen **Missbrauch des Staatseigentums**.*
- 11: *was gibt's in der **Firma**?*

Idiomatic phrases, colloquial lexical choice: In comparison with the English source text, the translation features fewer idiomatic phrases (8: *besser als nichts*, 5: *Wo brennt es denn?*) and more colloquial lexical choice in the form of ad-hoc formulated expressions (6: *brauche dringend eine kleine Aufmunterung*, 6: *Mit mir gehen Sie nicht mal im Pullover aus*, 8: *von der guten alten James-Platte*), which include modalizing and evaluative expressions. On the one hand, this is very likely due to the fact German and English do not always provide idiomatic

expressions for the same extralinguistic concept or communicative purpose. A particularly obvious example is (16):

16: *Don't forget to write / Ich schick' Ihnen mal 'ne Ansichtkarte.*

On the other hand, the translation shows extra colloquialisms which are not triggered by structures in the source text. Consider, for example, (7) and (14) below.

7: *Ich könnte mir nichts Schöneres denken / I would, you know.*

14: *Ich hab's gern wenn's knistert. / Ø*

The comparative abundance of colloquial language use in the German translation conveys a general impression of informality between the participants, a greater degree of interpersonal closeness, and a pronounced affective involvement in the social action carried out and the subject matters discussed (cf. Schwitalla 1997; Hentschel 1986).

Evaluative lexical items and collocations: To a greater degree than the English source text, the German translation uses evaluative lexical means: These include lexical expressions which have evaluative force by virtue of their semantic content and language specific connotations (6: *in solcher **Aufmachung***, 8: ***Schöne** Worte*, 8: *immerhin **besser als nichts***), as well as intensifying particles, adjectives and adverbs which modalize the propositional content of the utterances. As a rule, these evaluations are not triggered by comparable or equivalent linguistic structures in the source text, but rather seem to be the result of an interpretation of the source text's utterances and the communicative situation (this point will be taken up in Chapter 10).

2: ***ganz** London / been searching London*

9: *brauche **dringend** eine Aufmunterung / Ø*

6: ***nicht mal** im Pullover / Ø*

8: ***gute alte** James-Platte / Ø*

12: ***ganz schön** knistern lassen / been burning the air*

Foreign-language item: The use of the English honorific SIR (3) – which is not one of the numerous lexical imports from English into German – and to a lesser extent the English-sounding pronunciation of the proper names "James" and "Moneypenny", identify the communicative encounter and the communicative situation as foreign, i.e. not belonging to the situational and cultural context of the recipients.

Deixis: The local and temporal deictic elements serve the construction of the geographical and temporal context of the immediate interaction. Next to the addition of a time adverb (6: *dringend*), the deictic elements in the translation vary the local and temporal references by rendering some of them more precise (12: *zwischen **London** und Jamaika / between **here** and Jamaica*) and others more vague (6: *nicht mal / never*, 12: *in den letzten Stunden / for the last three hours*). The vague temporal deictic elements only have a reduced and very general temporal pointing quality (cf. Channell 1994).

### **Syntactic means:**

Process types: With two exceptions, the realization of process types in the German translation follows the English source text. First, the translation changes a material process (expressing an action) into a signification process (expressing a mental state) (6: *Ich **brauche** dringend / Me. **Given** an ounce*). Secondly, the translation introduces an additional relational process (14: *Ich **hab**'s gern wenn's*) which attributes a quality to the speaker. Further shifts concern the participant relationships realized by the processes. More frequently than in the source text, the speaker in the German translation is cast in the role of the actor. In contrast, the speakers in the English source text remain to a greater extent in the background. This is because the passive and elliptical structures in the English utterances function to highlight other information: i.e. the concept of being the recipient of something in (6) and in the case of (7), an addressee-oriented process realized by a lexical verb.

6: *Ich **brauche** / Me. **Given** an ounce of encouragement*

7: *Ich **könnte** mir nichts Schöneres **denken** / I would, you know.*

Syntactic structure: The syntactic structure of the utterances is simple. More complex logical structures are distributed across shorter, partly non-finite clauses (7: *Aber M würde mich vor ein Kriegsgericht stellen. Wegen Missbrauch des Staatseigentums.*, 8: *Schöne Worte von der guten alten James-Platte, immerhin besser als nichts.*)

Tense: The discourse is to equal parts in present and perfect tense. As in the source text, there is one future tense form (4: *wird Sie gleich reinrufen*). In contrast to the aspectual forms of English, German offers no comparable grammatical possibility of expressing duration through verbs. The progressive perfect forms of the source text are realized by collocations of intensifiers and perfect tense.

12: *Wir haben den Äther zwischen London und Jamaica in den letzten Stunden **ganz schön knistern lassen** / We've been burning the air between here and Jamaica for the last three hours.*

2: *Ich habe **ganz** London nach Ihnen abgesucht / I've been searching London for you.*

GANZ SCHÖN (12) expresses an intensification of the action KNISTERN LASSEN. GANZ in (2) refers to the place name LONDON. It can be said to indicate a temporal dimension because searching literally 'all London' implies a time-consuming and longer lasting activity.

### **Textual means:**

The scene in which the communicative encounter between JB and MP is embedded consists of six parts which are separated from each other through shifts in participants and subject matters. The translation features the following additional turns:

- 1: MP: [sharp breath]  
 9: JB: Hm.  
 14: JB: Ich hab's gern wenn's knistert.  
 17: MP: [laughs]

These extra turns do not impinge on the overall structure of the scene and the communicative encounter, but they do have consequences for the realization of the interpersonal relationship between the participants on the one hand (cf. TENOR), and for the degree of informational density and the cohesion and coherence of the discourse on the other (cf. MODE).

Non-verbal communication: Laughter (17) and audible breathing (1) provide an additional layer of information in the discourse. It provides the discourse with a pronounced dimension of affective involvement.

### Visual/textual means:

The structural make-up of the visual information remains unchanged. Even though the German translation in part realizes a variation on the propositional content of the English source text utterances, the co-construction of the six parts of the scene through visual and verbal means is similar.

I



**MP:** Bitte versuchen Sie es, vielleicht ist er dort.  
 ... see if he's there, will you?

II



**MP:** Ich habe ganz London nach Ihnen abgesucht.  
 I've been searching London for you.

III



**MP:** 007 ist hier Sir.  
 007 is here, Sir.

IV



**MP:** Warum gehen Sie nicht mal mir mit in solcher Aufmachung aus James.

You never take me to dinner looking like this James.

V



**MP:** Strangways, und es sieht ernst aus.  
Strangways, and it looks serious.

VI



**MP:** Rein mit Ihnen. [MP:OFF]  
Oh. In you go [OFF]

### 8.1.3.2 TENOR

As in the source text, three communicative constellations are realized: 1. MP and an interlocutor on the telephone, 2. MP and her superior on telephone, and 3. MP in face-to-face interaction with JB. The communicative encounter between JB and MP is constructed in contrast with the other two. As in the analysis of the source text, I restrict myself to the presentation of the constellation between MP and JB.

#### 8.1.3.2.1 Provenance

The temporal and geographical provenance of the speakers is unmarked: Standard German of the 1960s.

#### 8.1.3.2.2 Stance

The affective and intellectual stances of JB and MP towards each other, the subject matters of the discourse and the communicative tasks they are involved in are expressed by lexical choice, ellipsis, deixis, process realizations, repetition, discourse markers, adjacency pairs and non-verbal communication.

#### **Lexical means:**

Lexical choice: MP and JB make use of register-specific expressions, colloquial expressions, evaluative lexis and collocations, which express an everyday and

casual attitude towards the communicative situation and the subject matters discussed. The frequent occurrence of modalizing linguistic means in the form of adverbs, particles, adjectives (2: *wo sind Sie **bloß** gewesen?*, 6: ***nicht mal im Pullover***, 6: *Ich brauche **dringend***, 12: *sieht **ernst** aus*) and lexical expressions with evaluative meaning (7: *nichts **Schöneres***, 14: *Ich hab's **gern***) in both their utterances – but particularly in MP's – tone the propositions of the utterances with the speaker's subjective attitude. They also provide the exchanges with an undercurrent of informality and the expression – in comparison to the source text, increased – of affective personal involvement and interpersonal closeness (cf. Hentschel 1986; for a comparative account of the expression of speaker stance in English and German see also Bublitz 1978).

Process types: The realization of mental, material and relational processes and the concurrent realization of the participant framework portray both MP and JB as actively engaged in the interaction and their communicative tasks. The additional mental and relational processes (6: *Ich **brauche***, 7: *nichts **Schöneres denken***, 14: *Ich **hab's gern***) in the translation communicate the participants' subjective attitude towards the content expressed.

Tense: Shifts from perfect to present to future tense indicate MP's active management of the subject matters (cf. Rehbein 1984; Schwitalla 1997).

Deixis: The use of the speaker deictic elements ICH, MIR and the exclusive WIR presents MP as well integrated into the organizational structure and actively taking part in the communicative encounter. In contrast to the source text, she is also described as keenly craving interpersonal attention (6: *Ich brauche dringend eine kleine Aufmunterung*). Likewise in contrast to the source text, the repeated use of ICH characterizes JB as actively engaged in the discourse. The propositions expressed by the utterances featuring ICH make his engagement appear as determined by a pronounced affective dimension (7: *Ich könnte mir nichts Schöneres vorstellen*, 14: *Ich hab's gern wenn's knistert*).

Ellipsis: As in the source text, the textual ellipsis (12: *Strangways, und es sieht ernst aus.*) marks MP's status as insider and her presupposition of common ground with JB.

### **Textual means:**

Non-verbal communication: The audible breathing (1, see below visual/textual means) and laughter (18) are response moves to visual information and JB's leave-taking move (17: *Ich schick' Ihnen mal 'ne Ansichtskarte*), respectively. They express MP's affective and sensual involvement in the communicative encounter.

As in the source text, JB hums a tune which overlaps with MP's utterances. It indicates an overtly playful and frivolous stance on his part.

Adjacency pairs: In contrast to the source text, MP's response utterances in question-answer (5-6) and illocution sequences (7-8) realize word plays and irony only to a much reduced extent. This is due to that fact that her utterances have only little idiomatic quality and do not signal particularly creative language use.

5: JB [g]: *Money penny! . Wo brennt es denn?*  
*Money penny, what gives?*

6: MP [g]: *Bei mir. Ich brauche dringend eine kleine Aufmunterung.*  
*Me. Given an ounce of encouragement.*



- 7: JB [g]: *Wegen Missbrauch des Staatseigentums.  
for illegal use of government property.*
- 8: MP [g]: *Schöne Worte von der guten alten James-Platte, immerhin  
besser als nichts.  
Flattery'll get you nowhere. But don't stop tryin.*

The direct question in (6) (*Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James?*) is an explicit request for information not present in the source text. It characterizes MP as actively involved in the discourse and communicatively quite direct.

Lexical repetition: The repetition in (14) (*MP: haben den Äther ganz schön knistern lassen. JB: Ich hab's gern wenn's knistert.*) realizes a shift in the subject matter away from professional talk (back) to private and intimate matters by using the polysemy of KNISTERN (radio transmission and physical attraction). This utterance encodes a sexualized strand in the discourse not present in the source text. JB's affective involvement in the discourse and his stance vis-à-vis his interlocutor is thus specified in a particular way which does not correspond to his stance in the source text.

#### **Visual means:**

The visual information remains unchanged. MP's attitude towards JB is expressed by the continuous turning towards and away from him, while JB's stance towards MP is expressed by the more interpersonally intrusive behavior of active physical contact.

#### **Visual/textual means:**

Discourse marker: MP's SO in (10) serves as a *Gliederungssignal* ('segmentation phenomenon') in the discourse. Similar to discourse markers in English, *Gliederungssignale* facilitate transitions between the phases of a discourse and function to orient the hearer towards a particular piece of information (cf. Ehlich 1987; see also MODE). Like the use of NOW in the source text, MP's exclamatory SO is supported and emphasized by her movement away from her interlocutor. The use of SO thus marks active information management.



**MP: So!**  
*MP: Now.*

Non-verbal communication: The audible breath taking (1) in reaction to visual information signals astonishment and surprise. It characterizes MP as susceptible to external stimuli and prone to the overt display of emotion.

Lexical repetition and structural parallelism: As in the source text, the visual information is combined with a repetitive utterance. The paraphrase in (6) (*Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James?. Mit mir gehen Sie nicht mal im Pullover aus.*) plays on the homonymy between the

time adverb NICHT MAL ('some time') and the modal particle collocation NICHT MAL ('not even'). By using the paraphrase, MP turns the direct question into a complaint. It is an instance of creative language use, which expresses involvement in the communicative task and the message to be communicated. In contrast to the source text, the utterance realizes a direct complaint, whose illocutionary force is strengthened by the accompanying visual information of the speaker's turning away and shrugging her shoulder.

A



Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James?

*You never take me to dinner looking like this James.*

A1



Mit mir gehen Sie nicht mal im Pullover aus.

*You never take me to dinner, period.*

### 8.1.3.2.3 Social Role Relationship

The position and situation roles are the same as in the source text. The position roles – secretary and visitor – are defined by the professional context of the encounter. The situation roles are determined by the combination of usual interaction in an anteroom and accustomed role behavior between two (closely) acquainted persons of different sexes.

#### Lexical means:

Colloquial and register-specific lexical choice: The shared use of colloquial lexical choice and register-specific expressions indicates a symmetrical role relationship between the interlocutors. It presupposes the existence of a particular kind of common ground between the participants and membership in the same in-group, which both license the use of casual and informal speech (see Social Attitude).

#### Syntactic means:

Ellipsis: The use of the textual ellipsis (12: *Strangways, und es ...*) likewise indicates common ground and membership in the same in-group.

Reduced pronunciation and contraction: Phonological reduction phenomena (4: *reinrufen*, 11: *gibt's*, 14: *wenn's*) are markers of informal communicative behavior. Its mutual use across position roles which are clearly distinguished by social and professional rank indicates a relationship characterized by equality between the interlocutors.

Deixis and vocatives: The use of the polite hearer deictic SIE indicates an interpersonal relationship marked by formality, social distance and reduced solidarity (Zifonun et al. 1997). This contrasts with the informality conveyed by the colloquial lexical choice and phonological reduction phenomena.

The use of the surname (MONEYPENNY) without title as address form is conventional for asymmetrical social relationships in professional contexts in German. But it is unconventional for addressing women (Zifonun et al. 1999). The combination of first name and surname (JAMES, MONEYPENNY), however, can be said to mitigate the expression of social distance. This unconventional use of vocatives presupposes mutual consent and makes the interpersonal relationship appear as individually negotiated and comparatively close.

**Textual means:**

Discourse marker: SO (10) expresses the active discourse structuring by MP. Since SO marks the upcoming information as being of greater importance (Ehlich 1987), MP can also be seen as controlling information organization, i.e., enacting a certain authority over the sequencing of subject matters throughout the discourse.

**Visual means:**

The visual information remains unchanged, the continuous and consensual display of physical contact expresses a symmetrical relationship between the interlocutors.

**8.1.3.2.4 Social Attitude**

The degree of social distance between the interlocutors is expressed by the level of formality of their styles of speaking. Using the classification introduced by House (1981) following Joos (1961), the relationship between the participants can be characterized as 'intimate': The participants are personally close to each other. This classification of the social distance between JB and MP contrasts with the one established for the source text ('casual-intimate'). The shift in the level of formality is largely the result of the use of linguistic means which provide the utterances with a more pronounced colloquial touch.

**Lexical means:**

Register-specific lexical choice: As in the source text, register-specific lexical choice expresses reference to shared knowledge, the mutual acknowledgement of in-group membership, and a casual attitude towards the professional matters.

Colloquial lexical choice: Colloquial expressions and a high frequency of evaluative lexical items are indicative of informal communicative behavior (Schwitalla 1997). The use of the expression *Ich hab's gern wenn's knistert* in (14) furthermore explicitly lexicalizes a sexualized strand in the discourse, which is only licensed in an intimate personal relationship.

**Syntactic means:**

Reduced pronunciation and contraction: In contrast to the stylistic conventions of English which allow a greater range of contraction in both written and spoken text production (cf. Biber et al. 1999), all forms of reduced pronunciation in German

are predominantly associated with informal spoken language use only (cf. Schwitalla 1997).

Deixis and vocatives: The translation uses the polite hearer deictic SIE which expresses a formal and socially distant relationship between the interlocutors. The use of the vocatives follows the source text. The combination of first name and surname is unconventional in German. In the absence of titles indicating social rank, however, the vocatives are likely to mark an idiosyncratic, casual personal relationship.

### **Visual means:**

Non-verbal communication: The continuous physical closeness, intermittently heightened by additional intimate acts (a slap on the hand, holding hands, 'dancing', kissing), indicates an intimate relationship between the interlocutors.

The degree of social distance between the participants in the source text is characterized by a discrepancy between the level of formality expressed by the visual information ('intimate') and the one expressed by the verbal information ('casual' and intermittently 'intimate'). On the whole, the German translation does not reconstruct this discrepancy between visually and verbally expressed meaning. What appears as contradictory in the translation is the polite hearer deixis in combination with the overall intimate communicative behavior.

### **8.1.3.2.5 Participation**

#### *8.1.3.2.5.1 Diegetic Participation*

The strategies of mutual participation elicitation and hearer involvement in the communicative encounter between the onscreen participants are realized by linguistic and visual means which are typical of face-to-face dialogic exchanges between acquainted persons. They facilitate interaction in a shared situative context on the basis of shared knowledge.

### **Syntactic means:**

Personal deixis, vocatives: The use of non-specific personal reference through pronouns (4: *Er wird*, 12: *Wir haben*) and the personal name (7: *M*) follows the source text. Likewise, hearer deixis and vocatives are used in analogy to the source text (cf. section 8.1.2.2.5.1 above).

Ellipsis: The textual ellipsis in (12) refers to extralinguistic information not present in the perception space. It activates knowledge shared by the interlocutors. The construction *Wegen Missbrauch des Staatseigentums* (7) is an ellipsis across utterances. The omitted information is to be retrieved from the immediately preceding verbal context. The ellipsis functions to create a joint focus of attention between speaker and hearer (Schwitalla 1997).

### **Textual means:**

Mood choice: The translation features declarative and interrogative utterance patterns which realize utterance-response sequences. In contrast to the source text, the translation features additional non-verbal utterances – breathing and laughter – which diversify the interactional structure of the encounter.

Adjacency pairs: Mood choice and the realization of particular illocutions are typical means of eliciting favored communicative reactions from the addressee. The translation realizes the same adjacency pairs as the source text:

Question-Answer:

5: JB [g]: *Wo brennt es denn?*

6: MP [g]: *Bei mir.*

11: JB [g]: *Also was gibt's in der Firma?*

12: MP [g]: *Strangways, und es sieht ernst aus.*

Illocution sequence: COMPLAIN-JUSTIFY-CONDONE:

6: MP [g]: *Warum gehen Sie nicht mal mit mir in solcher Aufmachung aus James? . Mit mir gehen Sie nicht mal im Pullover aus.*

7: JB [g]: *Ich könnte mir nichts Schöneres denken. Aber M würde mich vor ein Kriegsgericht stellen. . Wegen Missbrauch des Staatseigentums.*

8: MP [g]: *Schöne Worte von der guten alten James-Platte, immerhin besser als nichts.*

MP's turn in (6) above features an additional direct question directed at JB followed by a pause. This can be interpreted as her waiting for a response before resuming the turn with the expression of a complaint.

**Visual/textual means:**

Discourse marker: MP uses SO (10) and the accompanying body movement away from her interlocutor to introduce a new subject matter in the discourse and to direct the addressee's attention towards this new information.

Interjection: The use of HM (9) by JB conforms to none of the functional descriptions offered by Zifonun et al. (1997) and Ehlich (1986). The HM is very short and has a slightly falling intonation; it is hardly audible and almost converges with the following SO by MP. Its function seems to be to refocus the currently active participant and the immediately preceding action, i.e. the kiss JB places on MP's forehead. Through the use of HM, JB appears to be attempting to direct MP's following behavior into a direction favored by the speaker.



**JB:** Hm.

8.1.3.2.5.2 *Extradiegetic Participation*

The access venues for the affective involvement of the audience into the onscreen interaction in the translation are similar to those in the source text: genre-specific expectations (a), use of linguistic means for the achievement of dramatic effects

(b), relevant topics in the cultural context of the situation of reception (d), distinct levels of information for the diegetic participants and the audience (e), and explicit reference (f). These phenomena are realized by the following linguistic means.

### **Lexical means:**

Register-specific lexical items (a, e): As in the source text, the register-specific linguistic choice activates genre-specific expectations of the film genre "spy thriller". The utterance (12) *Wir haben den Äther in den letzten Stunden ganz schön knistern lassen*. refers anaphorically to previously given information, which is only available to the audience. It activates the audience's knowledge of the overall narrative.

Foreign-language item (d): The direct import of the English honorific SIR (3) and the English-sounding pronunciation of the proper names JAMES and MONEYPENNY identify the communicative encounter and the communicative situation as foreign, i.e. not corresponding with the situational and cultural context of the recipients.

Idiomatic and colloquial lexical choice (b, d): More than in the source text, the use of idiomatic phrases and evaluative lexical items associated with a colloquial register expresses an informal attitude of the speakers towards the social action and the subject matters of the discourse. The realization of an overtly sexualized strand in the discourse through the creative use of the polysemy of KNISTERN (13, 14) strengthens this impression of informality. The informal attitude presented by the speakers may have positive or negative reverberations with the individual viewers, depending on the norms of communicative behavior prevalent in the culture. In the context of German communicative conventions in the 1960s, overtly intimate exchanges in professional contexts and the use of informal communicative behavior in formal settings are likely to have struck the viewers as unusual and unconventional.

Local deixis (f): The translation explicates the geographical location of the onscreen action through the use of one additional lexical local deictic element (*11: London / here*). The fictional reality depicted onscreen is thus explicitly geographically and culturally removed from the recipients' reality. The loan word SIR (3) and the Anglophone pronunciation of the vocatives also gain a kind of local deictic quality for the viewers, and stress the cultural distance between the fictional reality and the audience's world.

Temporal deixis (f): The temporal deictic elements in the translation are overall less precise (*6: nicht mal / never, nicht mal [modal particle] / never, 12: in den letzten Stunden / for the last three hours*). The single steps in the chronological progression of time and the temporal relations between the extralinguistic facts referred to are blurred. Conversely, the time adverb DRINGEND (6) focuses the mental state of the speaker and emphasizes the immediately present interaction between MP and JB.

### **Syntactic means:**

Ellipsis (e): As in the source text, the textual ellipsis (12) encodes different levels of information between the audience and the diegetic participants. The ellipsis refers anaphorically to previous scenes which provided the audience with information not available to the diegetic participants.

Personal deixis (e): Similar to the source text, it is not possible to disambiguate the non-specific reference HE (4) and the name M (7) on the basis of the available information. The non-specific personal reference establishes different levels of information between the diegetic and the extradiegetic participants thereby creating dramatic suspense for the audience.

Vocatives (f): The vocatives identify the participants for the audience.

**Textual means:**

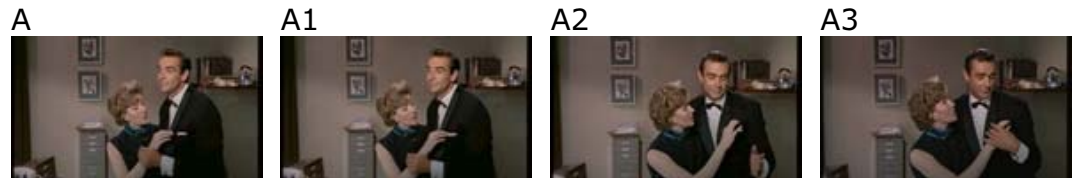
Lexical repetition (b, d): Local repetition is directly aimed at the audience. It is a means of focusing them on a particular piece of information. For example, in the case of the wordplay on KNISTERN in (13) and (14), the repetition foregrounds the sexualized thread of the discourse.

Discourse type (d): As in the source text, the communicative encounter between MP and JB is recognizable to the audience as a flirtation. This discourse type is likely to activate the viewers' own personal experience; it facilitates projection into the onscreen action, identification with either of the participants, and it provides the heightened pleasure of looking in on a private encounter.

**Visual means (d):**

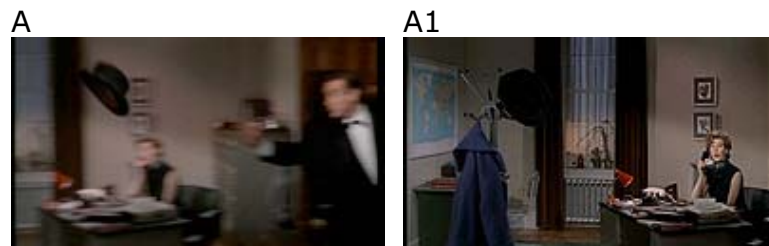
The visual information realizes an instance of male and female heterosexual role behavior in a non-private/professional communicative setting, which is non-standard behavior and likely to elicit audience attention.

**Visual/lexical means (f)**: The deictic demonstrative determiner SOLCHER in combination with the evaluative noun AUFMACHUNG explicitly directs the audience's attention to the extralinguistic referent of MP's utterance.



**MP:** Warum gehen Sie nicht mal mit mir in **solcher Aufmachung** aus James?

Likewise, MP's gasp in (1) explicitly orients the audiences attention towards the visually co-present information (the hat) – and by extension towards the person who throws the hat.



**MP:** [sharp breath]

### 8.1.3.3 MODE

Cohesion, coherence and the text's relative 'spokenness' and 'writtenness' are expressed by the following linguistic and visual means.

#### **Lexical means:**

Idiomatic and colloquial linguistic choice, including evaluative and modalizing linguistic means are typically associated with spoken discourse, and more specifically, with conversation between closely acquainted persons (cf. Hentschel 1986; Thurmair 1989; Schwitalla 1997).

Local deixis: As in the source text, the local deictic elements refer to the immediately present communicative situation – *Wahrnehmungsraum* – (3: *hier*) and to the fictional reality enveloping the situation (*Vorstellungsraum*) (2, 12: *London*, 12: *Jamaika*). The local deictic elements make links with the visually present situation and the imagined filmic reality beyond the immediate encounter. At the same time, they form ties between the filmic reality and the extratextual reality of the audience.

The translation uses one additional lexical deictic element (12: *London / here*). This makes the geographical location of the action and the link with the audience's reality more explicit than in the source text. The translation thus makes use of a less prototypically 'spoken' linguistic means because this kind of elaboration of meaning is comparatively untypical of spoken discourse between intimates in a shared situational context (cf. Schwitalla 1997).

Temporal deixis: Tense switches and time adverbials are used to construct the temporal frame of the narrative. They relate the subject matters to the past, present and future of the interaction. The overall temporal make-up of the scene differs from the one expressed in the source text. The translation displays alternative realizations for time adverbials (12: *in den letzten Stunden / for the last three hours*), an additional time adverbial (6: *dringend*) and the omission of one time adverbial (6: *never*). The additional temporal deictic DRINGEND (6) expresses both temporal urgency and personal desire. It focuses the immediate interaction and the affective stance of the speaker such that both are foregrounded in the encounter. Further, because of the systematic non-availability of progressive aspect in German, the linguistic expression of longer-lasting and ongoing activity is shifted away from the verb phrase. Instead, the translation uses modal particles and adjectives as intensifiers. Through this, the translation substitutes the expression of temporal duration with the expression of subjective evaluation (14: *haben den Äther ganz schön knistern lassen / we've been burning the air*).<sup>117</sup> The overt expression of speaker stance through the use of particles is a typical feature of spoken discourse in German (Weydt 1979; Hentschel 1986; Thurmair 1989; König 1991). As a result, the temporal depth of the source text is not reproduced and a more pronounced speaker stance is encoded in its place.

#### **Syntactic means:**

Personal deixis: The non-specific reference to persons by third person pronouns and the personal name presupposes shared knowledge. It is typical of spoken

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<sup>117</sup> Nevertheless, it seems possible that some German modal particles can signal a kind of temporal duration. Cf. e.g. Hentschel's (1991) analysis of the German particle MAL in comparison to aspectual forms in Serbo-Croatian.



discourse which is characterized by a tendency to avoid specification and elaboration of meaning as a means of saving conversational effort and time.

Speaker-hearer deixis and vocatives: The use of speaker-hearer deixis and vocatives follows the source text. They are constitutive features of spoken discourse because they refer directly to the participants in the communicative situation in order to identify them and to explicate the addressee of the utterances.

Syntactic structure: As in the source text, the utterances are short. For the most part, the logico-semantic relations between the propositions are not explicitly lexicalized. In the context of a majority of implicitly connected propositions, the explicitly connected contrastive and causal constructions, marked by ABER and WEGEN in (7) and by the concessive connective particle IMMERHIN in (8), stand out in the discourse. With the exception of (10) and (11), all German utterances are longer than the structures in the English source text. This is due to the fact that the translation integrates additional information in the form of evaluative elements into the utterances and realizes an alternative, functionally non-equivalent utterance (6).

Ellipsis: The use of grammatically incomplete utterances is more frequent in the translation than in the source text. Typical of face-to-face spoken discourse, incomplete utterances serve speech economy by reducing the surface structure of the utterances and form cohesive ties between propositions through the presupposition of shared and retrievable knowledge. In (7) *Aber M würde mich vor ein Kriegsgericht stellen. Wegen Missbrauch des Staatseigentums* the elliptical prepositional phrase is extracted from the main clause (*Aber M ...*) and dislocated to the right of the finite and grammatically complete utterance. The preposition WEGEN forms a cohesive tie with the preceding utterance.

Utterance (8) consists of a cohesively linked sequence of two elliptical phrases.

8: *Schöne Worte von der guten alten James-Platte<sup>118</sup>, immerhin besser als nichts.*

### **Textual means:**

Mood choice: Declarative and interrogative utterance patterns realize utterance-response sequences – the fundamental organizational form of spoken discourse in dialogic form.

Adjacency pairs: Conventionalized pairings of utterances and responses in the form of question-answer (5-6, 11-12) and illocution sequences (6-7-8) establish cohesion across turns and, as in (6), across utterances in the same turn.

Lexical repetition and structural parallelism: The polysemy of KNISTERN in (13) and (14) and the homonymy of NICHT MAL in (6) establish iconic connections between turns and utterances. In this way, repetitions form cohesive ties between two parts of the discourse. As opposed to the use of lexical repetition in the source text, the German cases of repetition do not result in informational redundancy but add to the informational density of the discourse because the parallel structures express different meanings.

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<sup>118</sup> This appears to be a variation on the idiomatic phrase "immer wieder dieselbe Platte", meaning 'you always say the same'.

Iconic linkage is characteristic of spoken discourse. It relieves the speakers of online planning pressure. As it were, speakers make use of linguistic structures already present in the discourse.

Three communicative constellations: Like the source text, the translation consists of three communicative constellations. The communicative encounter between JB and MP is realized contrastively, that is, the two other constellations serve as a foil for the realization of their interaction.

Non-verbal communication: As in the source text, MP's turn (6) overlaps with JB's humming. The translation realizes additional non-verbal turns (1, 17) which consequently add moves to the overall exchange structure. Because these turns express the affective stances of the speaker, they simultaneously serve to foreground the interpersonal relationship between the participants.

Simultaneous utterances as well as the open display of emotional involvement in the form of laughter and the expression of surprise or astonishment are typical of spoken discourse.

Interjection: Interjections are a characteristic feature of spoken discourse (Ehlich 1986). They are used to signal cooperation and involvement in the ongoing discourse. The use of HM in (9) is an attempt to control the interlocutor's communicative behavior by restricting the options of possible response moves. No such function is expressed in the source text.

Discourse marker: As the use of discourse markers in English, the use of the equivalent German *Gliederungssignale* is very frequent in spoken discourse. SO is a marker of information organization which functions as a "kommunikatives Scharnier" ('discourse hinge', Ehlich 1987). SO simultaneously separates and links two phases of the discourse. In the present context, it expresses a summarizing end to one part of the discourse and serves to align the orientation of speaker and hearer, focusing it on the upcoming information. SO indicates further that the upcoming information has a higher informational value than the preceding one (Ehlich 1987; Schiffrin 1987).

### **Visual/lexical means:**

Non-verbal communication and interjection: Both the intake of breath (1) and the interjection HM in (9) link visual and verbal information and thereby explicate and refocus visual information. In comparison to the source text, which features neither the gasp nor the interjection, the translation displays a greater visual-verbal redundancy. Since these turns also encode autonomous meaning (cf. above), the informational density of the discourse also increases.

A



A1



**MP:** [sharp breath]

B



B1



JB: Hm.

Reference: In contrast to the demonstrative reference LOOKING LIKE THIS in the English source text, the use of the prepositional phrase IN SOLCHER AUFMACHUNG in (6) encodes a greater degree of informational density in the discourse because both the verbal and the visual information are maximally explicit.

A



A1



A2



A3



**MP:** Warum gehen Sie nicht mal mit mir in **solcher Aufmachung** aus James?

Visually, the dinner jacket indicates social rank and a particular kind of evening entertainment, associated with social rank and formal occasions. The verbal information focuses this piece of visual information through the deictic demonstrative determiner SOLCHER. In addition, the evaluative noun AUFMACHUNG is used. In this context, AUFMACHUNG has negative connotations in the sense of 'dressed up to the nines'. Hence, the verbal information attaches an explicit evaluative qualification to the visual information. Since both the verbal and visual means are explicit, the German text gives more information than the English one in which only the deictic determiner THIS is used. As a consequence, the informational density of the translational discourse is increased.

#### 8.1.4 IDEATIONAL and INTERPERSONAL functional components

The IDEATIONAL and INTERPERSONAL functional components are the abstract categories (reflecting the ideational and interpersonal functions of communication) for organizing and systematizing the ideational, interpersonal and textual meanings expressed in text as they are captured in the analysis of FIELD, TENOR and MODE. In other words, the IDEATIONAL functional component describes the referential content of the discourse and the INTERPERSONAL functional component describes the interpersonal relationships established in the discourse. The linguistic and visual means identified in the analysis of FIELD,

TENOR and MODE result in the following description of the functional components of the English discourse and its German translation.

In the English source text, the IDEATIONAL functional component is expressed by colloquial, register-specific and idiomatic lexical choice, temporal and local deixis, process realizations, non-complex utterance syntax, and the structural make up of the visual information. There is little visual-verbal redundancy and the informational density is comparatively low. The linguistic and visual means describe the discourse as a workplace-related encounter between two closely acquainted persons: a man and a woman in different professional positions. The communicative situation is located in a particular time and space and thereby woven into the overall progression of the filmic narrative. The discourse proceeds through a sequence of work-related and private subject matters. Taking this description as a baseline, the German translation departs from the English source text in its realization of the ideational functional component in the following way.

The German translation uses the same linguistic devices and – clearly – the same visual means as the English source text. However, in addition, the translation employs more colloquial lexical choice at the expense of idiomatic elements, evaluative particles, adverbs and adjectives, foreign language lexis, a varied realization of local and temporal deixis, a greater number of mental and relational process types, non-verbal communication, and also additional turns. While realizing the same social action and the same subject matters, this use of linguistic means results in a greater visual-verbal redundancy, an increased informational density, and partly as an effect of that, in a foregrounding of the interpersonal relationship between the participants to the extent that it appears to be the main subject matter of the discourse. More precisely, the translation includes pronounced intimate overtones in the lexicalization of both the professional and private subject matters, and introduces an unambiguous sexualized thematic thread into the discourse.

The English discourse expresses the INTERPERSONAL functional component in the following manner: Lexical choice, process realizations, switches in tense and aspect, speaker-hearer deixis, pronominal reference, vocative, mood and modality choices, ellipses, frame constructions, lexical parallelism, adjacency pairs, overlapping utterances, discourse markers, reduced pronunciation and verb contraction, and non-verbal communication express an involved, symmetrical, casually affective and intermittently intimate communicative encounter between acquainted persons of different sexes and social and professional statuses. The linguistic means realize an etic (Pike 1967) interaction between the participants, based on the presupposition of shared knowledge and the co-presence in the communicative situation.

The text displays a discrepancy between the interpersonal relationship as expressed by visual and by linguistic means, respectively. The former encode the relation between the participants as casual, while the latter encode it as intimate. On the whole, one can say that the communicative behavior as expressed by verbal and non-verbal means realizes an instance of heterosexual male and female role behavior.

In sum, in the English source text, the IDEATIONAL and INTERPERSONAL functional components appear to be balanced: Referential content and its

discursive interpersonal realization appear to be fine-tuned and geared towards each other.

Considering the INTERPERSONAL functional component of the German translation, one can say that, overall, the same linguistic means as the source text are used. However, the changes and additions in process realizations, the choice of overtly modalizing and evaluating linguistic items and expressions, and the addition of, in part non-verbal, turns convey a heightened degree of personal involvement and affective-emotional participation in the communicative encounter as well as pronounced subjective speaker stances towards the subject matters under discussion. Lexical choice further characterizes these stances as sexualized. The interpersonal relationship in general can be described as symmetrical and intimate, even though a discrepancy remains between the visually and verbally expressed closeness and the mutual use of the polite forms of address.

Variation in local and temporal deictic reference has the effect of blurring the temporal relations between the parts of the film narrative, while at the same time, an explicit geographical location is allocated to the present interaction. As a result, the immediate interaction between MP and JB is foregrounded. Furthermore, their discourse appears to be more emic (Pike 1967), i.e., the translation relies to a greater degree on explicit reference than the source text. The predominance of explicit reference, finally, results in both a greater informational density and visual-verbal redundancy, which, as it were, 'thickens' the enactment of interpersonal closeness. On the whole, the German translation appears to be characterized by a stronger weighted INTERPERSONAL functional component, almost marginalizing the IDEATIONAL one.

### 8.1.5 KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS

The realization of the categories of information transmission to the extramedial audience describes the audience's access to information in terms of a cline between restricted and unrestricted (KNOWLEDGE), the degree to which the (discourse between the) participants in the diegetic communication display(s) recognition of the presence of an extramedial audience (SELF-CONSCIOUSNESS), and in terms of the degree of explicitness in information distribution (COMMUNICATIVENESS). As discussed in the presentation of the model in section 6.3 above, the categories of information transmission are closely bound up with the realization of the genre of a film text. It was pointed out earlier in this chapter that the category GENRE is not included in the present analysis. The following presentation of the KNOWLEDGE, SELF-CONSCIOUSNESS and COMMUNICATIVENESS of the present film discourse is therefore necessarily a slightly reduced one. It is also the case that, with regard to the discourse under investigation here, the linguistic expression of SELF-CONSCIOUSNESS is not particularly conspicuous. However, this is not due to a flaw in the category's explanatory or descriptive power. Rather, the present discourse is – for example in contrast to example (6.2) in section 6.3 and, on the whole, other types of filmic genres – simply inconspicuous in terms of the parameters of this category.

In both the source text and translation text, the extramedial audience has almost unrestricted knowledge. That is to say, the audience knows more of the

criminal case and more of JB's whereabouts than JB and MP, respectively. The audience's knowledge about the progression of the action is, however, restricted by the use of unspecified pronominal and personal reference. Specific information is held back. In other words, regarding the events which will follow, the audience knows less than the onscreen characters. As was noted above, such a discrepancy in levels of information serves the realization of dramatic suspense in a film.

In both source and translation text, there is no open display of audience recognition (SELF-CONSCIOUSNESS). This is a conventional stylistic device of mainstream narrative film production. Source and translation text differ, however, in their realization of COMMUNICATIVENESS. The German translation is more communicative: The use of linguistic means in combination with visual information overall communicates quantitatively more information. Also, in contrast to the source text, the translation disambiguates the geographical locale of the present interaction (London). What the audience of the source text is to infer from previously given visual information – previous to the present scene is a shot of Westminster, London – is made explicit for the audience of the German version. The surplus information and the explicitation of reference is used to express additional evaluations of the propositions and to foreground some parts of the discourse, namely those referring to the immediate interaction and its temporal and geographical context. The audience of the translation is provided with more and more explicit information which, on the one hand, in contrast to the source text's audience, relieve them from decoding implicit meanings and, on the other hand, offer them, likewise in contrast to the source text's audience, more access venues for affective participation.

### 8.1.6 INDIVIDUAL TEXTUAL FUNCTION

The IDEATIONAL and INTERPERSONAL functional components of the diegetic communicative level represent a workplace encounter between closely acquainted persons of different sexes and social and professional statuses. In contrast to the English source text, the German translation is marked by a weighting of the functional components which appears to favor the interpersonal over the ideational one.

On the extradiegetic communicative level, the discourse is functionally more complex. In this context, the significance of the onscreen action for the overall film narrative as developed up to that point and the situational and cultural context of the reception have to be considered. With respect to the overall film narrative, the IDEATIONAL functional components of both the English source text and the German translation encompass the following relevant information:

- ▶ Identification of the character JB as "007".
- ▶ Connecting JB to the previously introduced crime plot.
- ▶ Giving hints at the institutional context in which MP and JB operate.
- ▶ Characterization of JB as 'hard to find'.
- ▶ Illustration of JB's behavior towards women.

Interpersonally, both the English and the German version realize the following participation phenomena – albeit to different degrees:

- a. Specific types of communicative situations, which are specific to a particular genre, series of films or any other of texts and which are therefore expected by the audience ("spy thriller").
- b. Lexical items and syntactic structures which are non-standard usage in the communicative situation (word plays, irony).
- d. The linguistic realization of specific topics, contents and concepts which carry affective meanings in the situational and cultural context of reception (colloquial language use, discourse type "flirtation").
- e. Linguistic units which refer to the different levels of information between the audience and the onscreen characters, creating dramatic suspense.
- f. Referential explicitness as a means of focusing the audience on a particular piece of information.

The German translation differs from the English source text in that it realizes the phenomenon (f) "explicitness" more frequently. Moreover, the possibilities for the audience's affective participation are increased in the translation. Especially the experience of pleasure triggered by unconventionally intimate, unequivocally sexualized communicative behavior in a public context is enhanced by the pronounced playing out of the emotive dimension of the discourse (phenomena b and d).

## 8.2 Results of the qualitative analyses

The present section gives a summary of the results of the qualitative analyses carried out on the corpus of 219 spoken discourses in film. The exemplary analysis presented in the preceding section already indicates the outlines of the central characteristics of language use in English-language films, their German-dubbed versions, and the translation relation between English and German in the corpus investigated here. They can be summarized under the headings of the linguistic expression of modality, cohesion and referential explicitness. This section is structured as follows: I will start out by highlighting two phenomena which lie more at the periphery of the translation relation English-German because they are not really translations of linguistic source text structures – yet they play an important role for the overall communicative make-up of the German-translated discourses: alternative and additional information. Next, the differences in the linguistic expression of modality, cohesion and explicitness between the English film texts and their German translations will be presented. The focus will be on those linguistic phenomena which appeared most frequently in the analyses.<sup>119</sup> Because it is the constitutive feature of language use in film, the area of the combination of visual and verbal information, in particular the case of visual-verbal cohesion, will be excluded for a more detailed and diachronic

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<sup>119</sup> With the kind of corpus investigated here, whose special characteristics are the combination of visual and verbal information and original and translational spoken discourse aligned on the basis of translation equivalent utterances, the standard methods of automatic, quantitative corpus analysis cannot be applied (see below section 11.2 for an assessment of the methodology). The frequency of the occurrence of linguistic phenomena is based on manual counts. With one exception, no quantitative analyses were carried out and no statistical tests were applied. The corpus is too small to render significant figures for the linguistic phenomena under investigation.

presentation in Chapter 9. An interpretation of the results of the analysis of the English film texts and their German translations against the starting hypothesis of source text-induced language variation in the translation texts and an English influence on German communicative preferences will be given in Chapter 10.

### 8.2.1 Alternative and additional information

The translations up to the 1980s and to a slightly lesser extent those of the 1990s are characterized by a large amount of additional and alternative information. Additional information is understood as 'unmotivated' extra information which is not triggered by a linguistic structure in the source text and which does not substitute for other translational structures. Alternative information is provided by utterances which express neither the ideational nor the interpersonal meaning of the source text structures, while the translational utterance still fits the visual situational context (and subsequent moves). Compare example (8.1) below in which Q's German utterance in A points cataphorically to his utterance in A1. In the source text, no such connection between the two utterances is expressed.

#### (8.1) Alternative information

A



Q [right]: Look, do you mind?

---

Q [right]: **Das wird Ihnen noch mal gute Dienste leisten.**

A1



Q [right]: Now, in the event of a rebreather not being available, you can use ...

---

Q [right]: **Für den Fall dass Sauerstoffflaschen oder Schnorchel ausfallen können Sie ...**



In a sense more interesting because it defies the constitutive factor of translation in film, namely the time constraint which determines the target language's utterance length, is the case of additional information. In fact, translations from English into German invariably seem to provide additional information. This kind of informational enrichment is of two types: first, complex additional structures such as complete utterances or even turns as in the example below (in bold):

(8.2) Additional information

0	
<b>Pushkin [e]</b>	
<b>007 [e]</b>	Don't make any sudden move, General. Go to the table. . . . . All right.
<b>007 [g]</b>	Keine falsche Bewegung General. . Gehn Sie da rüber zum Tisch. . . . .
<b>Desc [nv]</b>	<i>007 threatens P with a gun</i>

1	2
<b>Pushkin [g]</b>	<b>Keine Angst.</b>
<b>007 [e]</b>	. . . . . Sit down. . . . .
<b>007 [g]</b>	. . . . . Setzen Sie sich.
<b>Desc [g]</b>	<i>to the woman</i>

This type of additional information is usually inserted when the speaker is not visible or only visible at a distance.

The second type is the integration of smaller – word- and clause-size – items into the target-language utterances. These are typically modalizing elements, discourse markers, one-word response forms (for example JA, NEIN, BITTE, DANKE) interjections, markers of cohesion and, as in (8.3) below, linguistic means which complete elliptical structures of the source text.

(8.3)

1	2
<b>007 [e]</b>	Good good morning. . . <b>Insomnia, Sir?</b>
<b>007 [g]</b>	Mrrh. . Eh, guten Morgen. . . <b>Leiden Sie unter Schlaflosigkeit Sir?</b>
<b>M [e]</b>	Good morning, 007.
<b>M [g]</b>	Guten Morgen 007.

One might argue that more than the utterance and turn additions to the discourse structure, these smaller-scale supplements truly reflect the systematic differences in communicative preferences between English and German. Because what these elements ultimately do is to vary the ideational and interpersonal meaning of the utterances. In the process of translation, this kind of strategy is arguably mainly applied to make the translation text correspond with the prevalent target language communicative conventions (cf. section 2.2 above, on the idea of "cultural filtering" and the discussion in Chapter 10). The communicative functions of both

additional and alternative information will be addressed in the course of the following sections.

## 8.2.2 Modality, cohesion and explicitness

The results of the whole of the corpus analyses can be summarized under the headings of modality, cohesion and explicitness. The linguistic expression of speaker attitudes, logico-semantic connections within the text, and the degree of referential explicitness appear to be the areas in which the English source texts and their German translations differ most markedly. Interestingly, they differ even though the language systems of English and German present no insurmountable obstacles to German translation realizations which would be structurally analogous to the English source texts.

In general, modality can be described as a morpho-syntactic, semantic-pragmatic category which expresses the relationship between the speaker and the propositional content, and the relationship between the propositional content and the extralinguistic reality (cf. Lewandowski 1985). Modality can be expressed in English and German by a number of lexicogrammatical means, including lexical verbs, nouns, modal words, particles, mental state predicates, modal adverbs, modal adjectives and modal verbs.

Slightly departing from this traditional view, in the present context, the term modality is used in a narrowly speaker-oriented sense. It includes all lexicogrammatical means of expressing the speaker's stance towards the proposition regarding its information status (for example certainty, doubt) and his/her personal feelings and attitudes. The relevant grammatical means are complement clause constructions, so-called "stance" adverbs and adverbials (cf. Biber et al. 1999), modal words, modal verbs and particles.

In a similarly general conception, cohesion relates to the forming of logico-semantic connections within the text. Cohesive ties between propositions across utterances and turns are mainly expressed by conjunctions, reference, repetition and parallelism, and ellipsis (cf. Halliday & Hasan 1976; Martin 1992).

Explicitness refers to the weighting between the linguistically expressed information in an utterance and the information which is left implicit (Doherty 2002). Next to the amount of linguistic 'material' used, explicitness in this context also relates to the extent of semantic, or denotative, precision – in contrast to referential vagueness (cf. Channel 1994) – employed in the presentation of information.

### 8.2.2.1 Modality

Even though the English and German resources for the expression of modality overlap in large part, there are also systematic differences. Before turning to the presentation of the results of the analyses, I will briefly highlight this issue of similarity and difference.

One of the options for the expression of modality which English and German share are complement clause constructions. In both the English and German discourses, complement clause constructions controlled by verbs (mental processes), so-called "stance" adverbs and adverbials, modal verbs and semi-modals are frequently used to express the speaker's attitude towards the proposition. They report the speech, thoughts, opinions and personal feelings of

the speaker, and express his/her value judgments and assessments of the other participants involved in the communicative event and third parties related to it. Complement clause constructions modalize propositions by establishing an attitudinal or evaluative frame for the complement clause. In the example below, the mental process in the main clause (in bold) expresses the meaning 'reduced certainty' for the statement in the ensuing complement clause (underlined).

(8.4)

12	
<b>Q's apprentice [e]</b>	<b>I thought</b> <u>you were on the inactive roster.</u> Some kind of injury?
<b>Q's apprentice [g]</b>	<b>Ich dachte</b> <u>Sie wären nicht einsatzbereit.</u> Man spricht von einer Verletzung.

Another means of expressing modality in English and German are so-called "value-laden" words (Biber et al. 1999: 966) which are used for up- and downtoning the proposition. In example (8.6) below, FANTASTIC attaches a positive quality to the noun SHOW.

(8.6)

2	
<b>Elliot Carver [e]</b>	It's gonna be a <b>fantastic</b> show.
<b>Elliot Carver [g]</b>	Das wird eine <b>fantastische</b> Show.

Overall however, compared to English, the German grammatical repertoire for expressing modality is broader. The resources also include the classes of modal words and particles. Modal words and particles are a typical feature of spoken discourse. While the modalizing force of modal words and intensifying and degree particles can be fairly easily deduced from their semantic content – for example, VERMUTLICH ('probably') expresses 'reduced certainty' – the situation is different with the modal particles.<sup>120</sup> The attitudinal meaning which is attached to the proposition through the use of a modal particle is hard to determine because their function is primarily a communicative one and cannot be straightforwardly related to a referential content of the particle. Compare the JA (bold and underlined) in example (8.5) below.

(8.5)

24	
<b>Goldfinger [e]</b>	Operation Grand Slam will be successful. <b>You will be there to see for yourself.</b>
<b>Goldfinger [g]</b>	Unternehmen Grand Slam wird ein Erfolg. <b>Eh, Sie werden <u>ja</u> dabei sein und es</b>

<sup>120</sup> As discussed in section 4.3, the modal particles constitute one of the systematic differences between the English and German languages. English does not have an equivalent class of words.

...	
<b>Goldfinger [e]</b>	Too closely for comfort, I'm afraid.
<b>Goldfinger [g]</b>	<b>selber sehen.</b> Zu nah fürchte ich um es gemütlich zu finden.

König (1991) argues that the German modal particles function as so-called "metapragmatic instructions" for the hearer. With reference to the German modal particles in particular, he suggests, for instance, that their major function is to explicate the pragmatic meaning of a clause. Helbig & Buscha (2001) take a similar stance on the particles. In their view, the communicative function of the German particles consists of several parts. Next to expressing the speaker's attitude towards the proposition, the particles also have the following functions:

1. They contribute to the illocution of the utterance (enhancing or mitigating it).<sup>121</sup>
2. They refer to presuppositions, thereby evoking a broader communicative context.
3. Different particles have different discourse management functions.
4. They form cohesive ties across utterances and turns.

In the following presentation of the results of the qualitative analyses, I will concentrate on the grammatical means for modalizing the proposition, largely excluding the purely lexical expressions of modality. The reason for this restriction lies in the fact that it is in the grammatical means for the expression of modality that English and German have different resources which are likely to get into conflict in the process of translation. The grammatical expression of modality entails structural decisions which may have far-reaching consequences for the information organization of the translational discourse, for example, with respect to word order, focus positions and informational density. Hence, it is the relation between competing grammatical options in English and German and their use in translation which will be mainly focused on.

As a preliminary, it needs to be emphasized once again that German systematically and structurally has the possibilities of realizing analogous forms for virtually all modality-related linguistic structures in the source texts. Also, as was presented above, the German translation usually will accommodate additional linguistic structures so that the question of the length of the possible translation realizations cannot be regarded as the sole argument for or against using the one or the other alternative. This is to suggest that the time constraint reigning over the translation determines the meanings that are expressed and the linguistic structures chosen only to a certain extent. In other words, the analyses and this presentation of their results are ultimately based upon the assumption that the linguistic structures and meanings realized in the translations are, in general, reflections of preferences in use and not instances of flawed utterances, triggered by the time constraint.

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<sup>121</sup> See Zifonun et al. (1997) who point out that modal particles serve to enhance the mood of the utterance ("modusrelevante Partikeln", p. 614).

In what follows, the translational realization of the expression of modality by complement clauses, adverbials, modal verbs, and the phenomenon of additional modality markers will be discussed. One may start by the very general observation that, on the whole, the translation realizations for the expression of modality vary:

**Complement clause constructions:**

The verb predicates controlling complement clauses (in bold) are frequently translated by close structural equivalents such as in examples (8.7) to (8.9). However, the complement clauses (underlined) of the translations may differ to varying degrees in grammatical structure and referential explicitness from their source text structures.

(8.7): Complement clause constructions:

1	
M [e]	<b>They said</b> <u>it was an accident during routine training exercise.</u>
M [g]	<b>Die sagen</b> <u>es wäre Unfall während einer Routinetestreihe.</u>

(8.8)

9	
Pussy Galore [e]	<b>I don't suppose</b> <u>it will be all fun and games.</u>
Pussy Galore [g]	<b>Ich glaube nicht</b> <u>dass alles für Sie Spaß und Spiel sein wird.</u>

(8.9)

4	
007 [e]	Anyway <b>I'm so glad</b> <u>it's only the car and not you.</u>
007 [g]	Jedenfalls <b>bin ich froh</b> <u>dass nur der Wagen beschädigt ist und nicht Sie.</u>

In English and to a lesser extent also in German, the complementizers may be omitted. Corpus findings suggest for English that the omission of the complementizer THAT is the norm in conversation (Biber et al. 1999). It is also very frequent in the English film discourses. In contrast, the complementizer is more often obligatory in German (8.10 below). However, when the complementizer is omitted in German, a change of information structure occurs. The subordinate clause will then display unconventional word order: Instead of having the verb in final position, it moves to the left, into a position adjacent to the subject of the subordinate clause (8.11).

(8.10)

	8
<b>007 [e]</b>	<b>I never realized</b> he enjoyed my company that much.
<b>007 [g]</b>	<b>Ich wusste gar nicht, dass</b> er so viel Vergnügen an meiner Gesellschaft <b>findet</b> .

(8.11)

	27
<b>Osato [e]</b>	<b>I hope</b> you're not taking any risks yourself, Mr Fisher.
<b>Osato [g]</b>	Hm. <b>Ich hoffe</b> , Sie <b>sind</b> im Umgang mit Pulver etwas vorsichtiger, Mr Fisher.

Equally often, the English complement clause constructions are dissolved in the German translation. In these cases, the verb predicate of the main clause is translated by modal words in mid-utterance (8.12) or utterance-initial position (8.13), modal particles (8.14) or prepositional phrases (8.15). It may also be isolated in a separate utterance (8.16), substituted by a paraphrase (8.17) or omitted altogether (8.18).

(8.12): Modal word in mid-utterance position

	18	19
<b>Money penny [e]</b>	<b>I'm sure</b> she was touched by his dedication. . . To the job in hand.	
<b>Money penny [g]</b>	Sie fand es <b>sicher</b> beeindruckend wie James- . die Dinge anpackt die vor	
<b>Desc [nv]</b>	<i>starts to exit</i>	<i>to Molly Warmflash</i>

	..
<b>Money penny [g]</b>	ihm liegen.

(8.13): Modal word in utterance-initial position

	17
<b>Dr. Kaufmann [e]</b>	<b>It seems</b> there is a red box in your car. They can't get to it.
<b>Dr. Kaufmann [g]</b>	<b>Offensichtlich</b> befindet sich in Ihrem Wagen ein roter Kasten an den

	..
<b>Dr. Kaufmann [g]</b>	kommen die Herren nicht heran.

(8.14): Modal particles

	18
<b>007 [e]</b>	Oh, <b>I'm sure</b> we'll be able to lick you into shape. .
<b>007 [g]</b>	Wir werden Sie <b>schon noch</b> in Form bringen. .

(8.15): Prepositional phrase

33

<b>M [e]</b>	And <b>my sources tell me</b> <u>the Russians are planning one even earlier than that!</u>
<b>M [g]</b>	Und <b>nach meinen Informationen</b> planen die Russen 'n paar Tage vorher auch einen Start.

(8.16): Separate utterance

29

30

<b>Henderson [e]</b>	<b>I think</b> London's theory about the missile being fired from this country is right.
<b>Henderson [g]</b>	Doch zur Sache. . Ahhh. Die englische Regierung nimmt an
<b>Desc [g]</b>	<i>clears his throat</i>

..

<b>Henderson [g]</b>	dass das unbekannte Raumschiff von Japan aus gestartet wurde. <b>Das glaube</b>
----------------------	---

..

<b>Henderson [g]</b>	<b>ich auch.</b>
----------------------	------------------

(8.17): Paraphrase

9

<b>Admiral [e]</b>	With all due respect M - sometimes I don't think you have the balls for this job.
<b>Admiral [g]</b>	Bei allem Respekt, M, ich glaube Ihnen fehlt das was ein Mann hat für diesen Job.

..

<b>M [e]</b>	Perhaps. . <b>The advantage is</b> <u>I don't have to think with them all the time.</u>
<b>M [g]</b>	Schon möglich, . aber <b>dafür</b> muss ich nicht dauernd mit dem was mir fehlt denken.

(8.18): Omission

27

<b>007 [e]</b>	The pleasure <b>I'm sure</b> was all mine.
<b>007 [g]</b>	Das Vergnügen war ganz auf meiner Seite.

In the German translations, complement clause constructions are also inserted in the place of, or as a supplement to, non-modalized source text utterances. See examples (8.19) and (8.20).

(8.19)

1

<b>007 [e]</b>	No, with that arm you won't. . You better leave it to me.
<b>007 [g]</b>	<b>Sie vergessen,</b> <u>dass Sie verwundet sind.</u> . Überlassen Sie das lieber mir. .

(8.20)

	5
<b>Money Penny [e]</b>	You will find this crushing, 007 . but I don't sit at home every night praying for
<b>Money Penny [g]</b>	<b>Ich weiß</b> , <u>sie werden es niederschmetternd finden 007</u> . aber ich sitze nicht
	..
<b>Money Penny [e]</b>	some international incident
<b>Money Penny [g]</b>	jeden Abend zu Hause und bete um irgendeinen internationalen Zwischenfall

### Sentence adverbials:

Another frequent means of modalizing the subsequent utterance used in the English source texts are sentence adverbials. Sentence adverbials have different structural forms: There are single adverbs, prepositional phrases, finite and non-finite clauses, and adverb and noun phrases. Similar to the translation of the complement clause constructions, the German texts realize part of the sentence adverbials by structurally similar forms, i.e. adverbs and adverbials in sentence-initial position (8.21, 8.22). But unlike the English sentence adverbials, the German forms are usually not syntactically separated (indicated by a pause or a falling tone) from the clause they comment on, but structurally integrated into it.

(8.21)

	33
<b>Money Penny [e]</b>	<b>Officially</b> , that was never confirmed.
<b>Money Penny [g]</b>	<b>Offiziell</b> wurde nie bestätigt dass er es war.

(8.22)

	33
<b>Ernst Blofeld 1 [e]</b>	<b>In any event</b> , I'm sure you will find it much more convenient than
<b>Ernst Blofeld 1 [g]</b>	<b>Jedenfalls</b> wird es todsicher wesentlich bequemer für Sie sein als draußen
	..
<b>Ernst Blofeld 1 [e]</b>	mountaineering about outside the Whyte House.
<b>Ernst Blofeld 1 [g]</b>	an der Fassade von Whyte House herumzuklettern.

It is only in the most recent translations (from the 1990s) that the sentence adverbial also appears dislocated at the left periphery of the utterance. See examples (8.23) and (8.24).



(8.23)

..

<b>Jack Wade [e]</b>	<b>Anyways</b> , to tell you the truth . you don't find this guy, he finds you.
<b>Jack Wade [g]</b>	<b>Jedenfalls</b> , um die Wahrheit zu sagen diesen Kerl finden Sie nicht. Der findet Sie.

(8.24)

15

<b>Elliot Carver [e]</b>	You see we're both men of action, but your era and Miss Lin's is passing.
<b>Elliot Carver [g]</b>	<b>Natürlich</b> , wir sind beide Männer der Tat, aber die Ära von Ihnen und Miss

..

<b>Elliot Carver [g]</b>	Lin geht zu Ende.
--------------------------	-------------------

Similar to the translation of the complement clause constructions, the German translations show no consistency in the choice of translational structures for the sentence adverbials of the source texts. They are translated by various means: Apart from sentence adverbials, modal adverbs, complement clause constructions with modal particles, interjections, and non-finite clauses are used. Yet another fraction is completely omitted. See examples (8.25) to (8.31).

(8.25): Modal adverbs

14

<b>007 [e]</b>	<b>No doubt</b> , I shall disappoint you too.
<b>007 [g]</b>	Dann werde ich Sie <b>zweifellos</b> auch enttäuschen.

(8.26)

9

<b>Max Zorin [e]</b>	<b>As I see it</b> , you need a stallion. . For breeding.
<b>Max Zorin [g]</b>	Sie werden <b>wahrscheinlich</b> einen Hengst brauchen. Für Ihre Zucht.

(8.27): Complement clause constructions with modal particles

7

<b>M [e]</b>	<b>Of course</b> , girls do fall in love with pictures of film stars.
<b>M [g]</b>	Ich hab <b>schon</b> gehört dass sich junge Mädchen in das Bild eines Filmstars verlieben, .

(8.28)

12

<b>007 [e]</b>	<b>Just off the cuff</b> , I thought we might link up.
<b>007 [g]</b>	Ich hab mir <b>einfach</b> gedacht wir könnten uns doch zusammen tun.

(8.29): Interjection

	46	47
<b>007 [e]</b>		<b>Somehow</b> I don't think it
<b>007 [g]</b>		<b>Mmh</b> , ich habe das
<b>Domino [e]</b>	He's going to be impossible if his luck doesn't change.	
<b>Domino [g]</b>	Es wird furchtbar werden wenn seine Pechsträhne anhält.	

..

<b>007 [e]</b>	will tonight.
<b>007 [g]</b>	Gefühl heut' Nacht hält sie an.

(8.30): Non-finite clause

	12
<b>007 [e]</b>	But it still boils down to petty theft. . . <b>In the end</b> you're just a bank robber.
<b>007 [g]</b>	Aber trotzdem im Grunde nur ein gewöhnlicher Diebstahl. . . <b>Genau gesehen</b> bist Du

..

<b>007 [g]</b>	bloß ein Bankräuber.
----------------	----------------------

(8.31): Omission

	17
<b>007 [e]</b>	. . Well. <b>Really</b> , I'm not too busy at the moment, Sir.
<b>007 [g]</b>	Errrrpffh, Sir, hier habe ich im Augenblick nicht viel Arbeit.

**Modal verbs:**

There is no consistent German translation for the modal verbs in the source texts. Modal verbs are translated in part by German modal verbs and also by modal words, lexical verbs in co-occurrence with other modality markers, and lexical expressions containing speaker evaluations.

In most cases in which English modal verbs are translated by German modal verbs, the source and translation text utterances can be considered functionally equivalent. The English and German utterances express comparable speaker attitudes towards the proposition and the interlocutor. Compare the expression of tentative inference in (8.32), hypothetical assumption in (8.33) and ability (including volition) in (8.34).

(8.32): Tentative inference

	9
<b>Holly Goodhead [e]</b>	We <b>should</b> see the last one soon. . .
<b>Holly Goodhead [g]</b>	Wir <b>müßten</b> jetzt eigentlich den dritten sehen. . .

(8.33): Hypothetical assumption

40		41
Natalya Simonova [e]	Yes. . He killed everyone and stole the Goldeneye. . .	
Natalya Simonova [g]	Ja. . Er hat alle umgebracht und Goldeneye gestohlen.	
Russian minister of defence [e]		And
Russian minister of defence [g]		Und

41	
Russian minister of defence [e]	why <b>would</b> he do that? . .
Russian minister of defence [g]	warum <b>sollte</b> er das tun?

(8.34): Ability (-volition)

13		14
007 [e]	Having fun in the sun, Goodnight?	
007 [g]	Macht es Dir Spaß hier in der Sonne zu liegen?	
Mary Goodnight [e]		Yes. . I <b>could</b> stay here
Mary Goodnight [g]		Ja. . Ich <b>könnte</b> leicht für

..	
Mary Goodnight [e]	forever.
Mary Goodnight [g]	immer hier bleiben.

(8.35) and (8.36) below are examples for the translation of modal verbs by modal words.

(8.35)

4	
007 [e]	You' <b>ll</b> understand if I don't call.
007 [g]	Sie verstehen <b>sicher</b> wenn ich nicht anrufe.

(8.36)

16	
M [e]	<b>Could</b> this be an accident?
M [g]	War das <b>vielleicht</b> ein Unfall?

In (8.37) below, the modal verb COULD is substituted by a lexical expression conveying the speaker's evaluation.

(8.37)

	5
<b>Rosie Carver [e]</b>	I've worked for CIA down here for some time now and he cabled me
<b>Rosie Carver [g]</b>	Ich arbeite hier schon längere Zeit für ihn. Er hat mir telegraphiert, dass Sie
	..
<b>Rosie Carver [e]</b>	you were coming and asked if I wouldn't help out if I <b>could</b> .
<b>Rosie Carver [g]</b>	kommen und mich gebeten Ihnen <b>so weit als möglich</b> behilflich zu sein.

One explanation for this seeming variety of translation realizations may be the fact that the English and the German systems of modal verbs (and semi-modals) differ (see for example Nehls (1986) for a comparative overview). Even though the morphological similarity between the English and German modals is striking, a one-for-one translation will very often result in functionally non-equivalent utterances. Yet, as Heine (1995) points out, the relation between the English and German modals is one of a difference in degree rather than in kind, mainly related to their different degrees of grammaticalization. The German modal verbs are less grammaticalized than their English counterparts. As a consequence, they behave comparatively more 'verb-like'<sup>122</sup> than their English counterparts. The same point is made by Traugott (1982) who argues that epistemic meanings develop out of referential meanings. Following these ideas, it is possible to hypothesize that the German modal verbs do not express epistemic meanings – i.e. the speaker's evaluation of the proposition in terms of its probability of being true or coming into being – to the same extent as the English modal verbs. From this perspective, the choice of lexical expressions and unequivocally modalizing means, such as modal words, might be a strategy to compensate for the lesser modal force of the German modal verbs in certain communicative contexts. For translations this would mean that the expression of speaker attitudes realized by modal verbs in the English source texts cannot always be reproduced by the use of German modal verbs.

The lesser degree of grammaticalization of the German modal verbs could also be one of the reasons why many occurrences of modal verbs in the German translations are accompanied by an additional modality maker in their scope. See, for example, the particle **SCHON** in (8.38) below and also the evaluative adjective **LEICHT** and the modal word **EIGENTLICH** in (8.32) and (8.34) above.

(8.38)

	17
<b>007 [e]</b>	If you wish to be confirmed as Count de Bleuchamp, you <b>must</b> give me some of your
<b>007 [g]</b>	Wenn Sie als Graf de Bleuchamp bestätigt werden wollen <b>müssen</b> Sie mir <b>schon</b> etwas
	..
<b>007 [e]</b>	time. .
<b>007 [g]</b>	Zeit opfern.

<sup>122</sup> The German modal verbs have inflections and they may function under certain circumstances as a lexical verb.

If the German modal verbs express epistemic meaning to a lesser degree, additional modality markers could be understood as necessary supplements which enhance the otherwise insufficient expression of the speaker's subjective qualification of the proposition. I will expand on this characteristic of the German translations below.

### **Additional modality markers:**

It is the use of additional modality markers which appears to be one of the central characteristics of the translation of the English linguistic expressions of modality reviewed here. As mentioned above, German has lexical means (evaluative adjectives, nouns, adverbs) to express the speaker's evaluation of the proposition and in addition, German possesses a repertoire of grammatical items (modal words and particles) which specifically serve to up- or downtone the illocution of the utterance. In the translations, these modality markers complement other structures expressing modality in order to convey an intensification or mitigation of the modal force (examples 8.39, 8.40, 8.41 below). Furthermore, the German translations frequently display collocations of modality markers (8.42), thereby multiplying the lexicalization of modal meaning in the single utterances. Finally, the modality markers may introduce speaker evaluations into utterances which are unmarked for the expression of speaker stance in the source texts (8.43, 8.44).

(8.39): Modality markers as complements (in bold and underlined)

	0
<b>Wai Lin [e]</b>	<b>Would</b> you pass the soap?
<b>Wai Lin [g]</b>	<b>Kann ich <u>mal</u></b> die Seife haben?

(8.40)

	7
<b>007 [e]</b>	Hmmh, <b>hope</b> you extended the same courtesy to Paris.
<b>007 [g]</b>	<b>Ich hoffe <u>nur</u></b> Sie waren bei Paris genauso entgegenkommend.

(8.41)

	39
<b>007 [e]</b>	<b>I didn't realise</b> it was public knowledge.
<b>007 [g]</b>	<b>Mir war <u>allerdings nicht klar</u></b> , dass es allgemein bekannt ist.

(8.42): Collocation of modality markers

	10
<b>Goldfinger [e]</b>	<b>I assume</b> you want the cheque made out to cash?
<b>Goldfinger [g]</b>	Sie möchten <b><u>doch wahrscheinlich</u></b> gerne einen Barscheck haben.

(8.43): Modality markers as a means of adding speaker evaluation

24	
<b>Minister of Defence [e]</b>	We send in the fleet. . M - you have forty-eight hours to investigate.
<b>Minister of Defence [g]</b>	Wir entsenden unsere Flotte. . M, Sie haben <b>noch</b> achtundvierzig
..	
<b>Minister of Defence [g]</b>	Stunden für Ihre Ermittlungen.

(8.44)

2	
<b>Tracy [e]</b>	What are you doing here?
<b>Tracy [g]</b>	Was machen Sie <b>eigentlich</b> hier?

Despite the apparent diversity of German translational structures for the same source text structures – be they complement clause constructions, sentence adverbials or modal verbs – there, nevertheless, appears to be a certain consistency in the translations. Compare, for example, the translation of the elliptical complement clause construction SUPPOSE by the modal particle NUN in the examples (8.45) and (8.46) below. The examples are taken from different films. In both translations, the modal particle NUN expresses the presupposition of an assumption. In both source texts, this assumption is explicitly expressed by the mental state predicate SUPPOSE.

(8.45)

19	
<b>007 [e]</b>	<b>Suppose</b> , when she meets me in the flesh, I I don't come up to her expectations.
<b>007 [g]</b>	Und wie soll ich mich <b>nun</b> verhalten wenn ich eh ihren Erwartungen nicht entspreche?

(8.46)

4	
<b>Tracy [e]</b>	. You're very sure of yourself, aren't you? . <b>Suppose</b> I were to kill you for a thrill.
<b>Tracy [g]</b>	Sind Sie nicht ein bisschen zu selbstsicher? . Wenn ich Sie <b>nun</b> zum Spaß
..	
<b>Tracy [g]</b>	erschließen würde.

These examples indicate that despite the aforementioned diversity, the translational choices are not arbitrary. Rather, they seem to be the result of perceived analogies between English and German linguistic structures and their communicative functions in specific communicative constellations.

### 8.2.2.2 Cohesion

As mentioned above, in the present context, the term cohesion is related to the linguistic devices used to form logico-semantic ties between propositions – within as well as across turns.

Markers of cohesion are practically ubiquitous in the German translations. The general picture which evolved from the analyses can be summarized in the following way: First, markers of cohesion are used more frequently in the German translations than in the English source texts. Secondly, the use of cohesive devices in the German translations varies with regard to the structures used in the source texts. Thirdly, the use of cohesive devices varies with respect to the communicative context of their occurrence. In other words, on the basis of the data examined, there appears to be neither a systematic relationship between a linguistic structure in the source text and the use of a particular cohesive device in the translation text, nor a systematic similarity between the individual contexts of occurrence of a particular cohesive device in the translations. For the special area of visual-verbal cohesion, this seemingly kaleidoscopic part of the translation relation English-German will be described at length in Chapter 9.

The use of cohesive devices in the German translations alter the degree of explicitness of the logico-semantic connections between propositions – rendering some of them semantically more vague than in the source text, and in what appear to be the majority of the cases, more explicit. I will return to this finding in the section on explicitness (8.2.2.3 below). The most frequently used linguistic means for the expression of connections between propositions in the film discourses are conjunctions, linguistic items which express reference relations, repetition, and ellipsis. These are used in both the English and German discourses. In the German translations, however, their use is extended beyond the translation of the cohesive relations present in the source texts. They are also used to introduce explicit logico-semantic connections between structurally unconnected (juxtaposed) or only vaguely connected source text propositions. The most frequent kind of this semantic enrichment is the additional or intensified expression of temporal, causal/conditional and contrastive relations.

#### Conjunctions and reference relations:

In example (8.47) below, the translation explicates a level tone (SCARAMANGA-), a phonetic means of indicating a semantically unspecified link between adjacent propositions (Halliday 1994), by the time adverb DANN. DANN specifies the following proposition as the immediate temporal and causal consequence of the preceding one and serves to mark this relationship for the hearer.

(8.47)

	24
007 [e]	Assuming, Gibson was killed by <b>Scaramanga-</b> . whoever hired him could afford a
007 [g]	Nehmen wir mal an- der Mörder von Gibson ist Scaramanga. <b>Dann</b> konnte sich der
	..
007 [e]	million dollars.
007 [g]	Auftraggeber eine Million Dollar leisten.

In (8.48) DANN is added to the already explicit temporal and conditional relation expressed by ONCE and its translation WENN. The combination of WENN and DANN is a frequent collocation in German. It is often used in descriptions of processes, where it announces subsequent actions or events as only coming into being if the condition expressed by the WENN-clause is fulfilled (cf. Rehbein 1984).

(8.48)

0	
Q [e]	Now, <b>once</b> we got a composite of the man, we can find a match by patching into the
Q [g]	Also, <b>wenn</b> wir die ganze Beschreibung haben <b>dann</b> finden wir die betreffende Person
..	
Q [e]	photographic files of the Sureté Interpol CIA, the Mossad.
Q [g]	indem wir die gespeicherten Bildarchive abfragen äh der Sureté Interpol CIA äh Mossad.

Utterance-initial AND is frequently used to express vague temporal and causal relations across utterances and turns. According to Schiffrin (1986, 1987) and Redeker (1990), this use of AND can be classified – in contrast to the use of AND as coordinating conjunction – as "discourse marker". AND as discourse marker serves to extend the body of the utterance by chaining one proposition or utterance to the next. Furthermore, AND marks speaker continuity in that it signals that the speaker has not reached the end of his/her turn. Thus, AND as discourse marker serves connective as well as interpersonal functions.

The functional descriptions available for UND in clause- and utterance-initial position likewise postulate a connective function (Zifonun et al. 1997; Weinrich 2003). However, a systematic distinction between this use and the solely structural function of coordination appears not to be acknowledged. Furthermore, an interpersonal dimension of meaning for UND, i.e. the signaling of speaker continuation to the hearer, is generally not recognized.

The German translations often follow the use of utterance-initial AND in the source text as in (8.49) and (8.50) below.

(8.49)

4	
M [e]	This isn't a personal vendetta, 007. . It's an assignment like any other, <b>and</b> if you can't
M [g]	Es handelt sich nicht um persönliche Rache, 007. . Es handelt sich um einen dienstlichen
..	
M [e]	treat it as such, coldly and objectively . 008 can replace you.
M [g]	Auftrag. <b>Und</b> wenn Sie ihn nicht kühl und objektiv ausführen können . wird ihn 008
..	
M [g]	übernehmen. . . .



(8.50)

	4	5
<b>Admiral [e]</b>	And instead of decisive action all you wanna do is investigate.	
<b>Admiral [g]</b>	Aber statt entschlossen zu handeln wollen Sie erstmal ermitteln.	
<b>M [e]</b>		My goal is to
<b>M [g]</b>		Ich möchte gern

<b>M [e]</b>	prevent World War III Admiral. . <b>And</b> I don't think sending an Armada into the
<b>M [g]</b>	den dritten Weltkrieg verhindern, Admiral. <b>Und</b> ich glaube nicht dass die

<b>M [e]</b>	recovery area is the best way to do it.
<b>M [g]</b>	Entsendung einer Armada in das Krisengebiet sehr hilfreich wäre.

Equally often, however, a more precise connection – for example, temporal sequence through the use of DARAUF in (8.51) and contrast through ABER in (8.52, 8.53) – is expressed in the translation.

(8.51): Temporal sequence

	3
<b>Ernst Blofeld [e]</b>	You guessed correctly that box contained the master satellite control tape- <b>and</b>
<b>Ernst Blofeld [g]</b>	Sie hatten einen guten Instinkt. In dieser hübschen Kassette befand sich
<b>Ernst Blofeld [e]</b>	you came aboard, presumably hoping to substitute this for the real thing. Hm. .
<b>Ernst Blofeld [g]</b>	tatsächlich das Hauptkontrollband für den Satelliten. Gewiss sind Sie <b>darauf</b>
<b>Desc [nv]</b>	<i>referring to a tape</i>
<b>Ernst Blofeld [g]</b>	nur an Bord gekommen, diese Kassette gegen die echte auszutauschen. Hm?

(8.52): Contrast

	0
<b>Rosie Carver [e]</b>	Oh, James, . oh you don't know what finding you's meant to meant to me.
<b>Rosie Carver [g]</b>	Oh James, . Du weißt ja nicht was es . für mich bedeutet Dich gefunden zu
<b>Rosie Carver [g]</b>	haben.
<b>007 [e]</b>	Oh, I can imagine. <b>And</b> you have no idea what finding
<b>007 [g]</b>	Das kann ich mir vorstellen. . <b>Aber</b> Du glaubst nicht was es für

	2
007 [e]	this has meant to me. .
007 [g]	mich bedeutet das hier gefunden zu haben. .
Desc [nv]	007 holds up a Tarot card for Rosie to see

(8.53)

	3	4
Admiral [e]		<b>And</b> instead of decisive action all you wanna do is
Admiral [g]		<b>Aber</b> statt entschlossen zu handeln wollen Sie erstmal
M [e]	I'm aware of that!	
M [g]	Das ist mir durchaus	

	4
Admiral [e]	investigate.
Admiral [g]	ermitteln.

Utterances, turns and also larger units of the overall film narrative which are only implicitly connected in the source texts are often explicitly tied together in the translation through the use of additional deictic elements, linking adverbials and conjunctions.

In (8.54) below, the deictic determiner **DIESEN** refers anaphorically to previous information. In addition, the local deictic prepositional phrase **IN CORTINA** relates the present interaction to a previous one, while the place name also links the fictional reality to the extratextual reality of the audience.

(8.54): Additional reference: Deictic determiner and local deixis

	11
Ari Kristatos [e]	After our last meeting . I am asking myself why you want to know about
Ari Kristatos [g]	Seit unserer ersten Begegnung <b>in Cortina</b> frage ich mich warum Sie etwas
	..
Ari Kristatos [e]	Locque, Columbo's man.
Ari Kristatos [g]	über Locque, <b>diesen</b> Mitarbeiter von Columbo wissen wollen. .

Another frequent addition to the translated discourses are so-called 'composite deictic elements' ("zusammengesetzte Verweiswörter", Rehbein (1995)). In (8.55), **DADURCH** refers back to the content of the previous utterances, expressing an instrumental relation between the utterances.<sup>123</sup>

<sup>123</sup> According to Rehbein (1995), **DADURCH** can be described as a connective element which – due to its two morpho-pragmatic parts **DA** and **DURCH** – has a dual effect: Firstly, it causes the hearer through the deictic component **DA** to refocus previously verbalized knowledge. Secondly, the composite deictic instructs hearers on account of the component **DURCH** to integrate this knowledge in a specific way – in an instrumental relation – into the current utterance.

(8.55): Additional reference: Composite deictic

	14	15	16
007 [e]		And why not?	
007 [g]		Warum denn nicht?	
Q [e]	Whatever you do don't touch it.		Because you release
Q [g]	Seien Sie vorsichtig. Berühren Sie ihn nicht.		Weil <b>dadurch</b> dieser
..			
Q [e]	this section of the roof and engage and then fire the passenger ejector seat, huich.		
Q [g]	Teil des Daches entfernt wird. Und der Sitz darunter samt Passagier in die Luft fliegt. Chuit!		

In (8.56), DAMIT substitutes an instrumental connection for a relative clause construction in the source text. DAMIT is a more precise anaphoric reference than either WHICH or its German equivalent WAS. By virtue of its semantic content DAMIT ('with this') stresses the instrumental character the previous information has for the ensuing one.

(8.56)

	10
007 [e]	Interesting setup Alec. . You break into the Bank of England via computer then
007 [g]	Interessanter Plan Alec. . . Du brichst per Computer in die Bank von England ein und
..	
007 [e]	the money electronically . just seconds before you set off the Goldeneye . <b>which</b> erases
007 [g]	transferierst die Beute elektronisch. . Sekunden bevor Du Goldeneye zündest. . . <b>Damit</b>
..	
007 [e]	any record of the transactions. . Ingenious.
007 [g]	wären alle Aufzeichnungen über die Transaktion gelöscht. . Mmm genial.

In (8.57), the adverb QUASI occurs in the position of a sentence adverbial. It links the ensuing information to the preceding discourse. In addition, the semantic meaning of QUASI ('acting as') expresses a speaker comment on the following proposition.

(8.57): Linking adverbial

	16	17
Ernst Blofeld 1 [e]		Nothing so melodramatic. I'm simply holding
Ernst Blofeld 1 [g]		Ach warum denn so dramatisch. ich habe ihn,
007 [e]	I suppose you killed him.	
007 [g]	Sie haben ihn umgebracht.	

	..
<b>Ernst Blofeld 1 [e]</b>	him in cold storage so to speak. An insurance policy against any outside
<b>Ernst Blofeld 1 [g]</b>	wenn man so sagen darf, auf Lager. <b>Quasi</b> als Versicherung dass meine

	..
<b>Ernst Blofeld 1 [e]</b>	interference with my plan.
<b>Ernst Blofeld 1 [g]</b>	Pläne von außen nicht durchkreuzt werden.

Finally, implicit connections between propositions, utterances and turns are frequently made structurally explicit through the addition of the conjunction UND. The German UND can hardly be ascribed with specific semantic content (cf. Lang 1977, 1991; Zifonun et al. 1997). UND in utterance-initial use, such as in example (8.58) below, signals the status of equal importance for and a close meaning relation between the utterances, albeit without making the relation between them explicit.<sup>124</sup> The relation between the conjuncts derives from the meaning of the single conjuncts, while UND serves to emphasize the presence of a relation without indicating its precise nature. By the same token, turn-initial UND serves to express a smooth link between the speakers' turns (8.59).

#### (8.58) Utterance-initial UND

	14	15
<b>Elliot Carver [e]</b>		I rather like the last
<b>Elliot Carver [g]</b>		Diese hier gefällt mir
<b>Desc [nv]</b>	<i>newspaper headlines referring to "war" between China and the UK</i>	<i>ends with a laugh</i>

	..
<b>Elliot Carver [e]</b>	one. . It isn't even mine.
<b>Elliot Carver [g]</b>	am besten. . <b>Und</b> sie ist nicht mal von mir.

#### (8.59) Turn-initial UND

	6
<b>007 [e]</b>	She says she works there with the Lector every day between two and three.
<b>007 [g]</b>	Sie hat mir gesagt dass sie dort jeden Tag zwei Stunden mit der Lector arbeitet.

<sup>124</sup> This function of UND has been called "Parallelisierungseffekt" by Lang (1977): "Mit Parallelisierungseffekt bezeichne ich einen der [...] grundlegenden Interpretationsmechanismen der Koordination. Er besteht in folgendem: Die koordinative Verknüpfung auferlegt den Interpretationsmöglichkeiten der Konjunkte einen Zwang zur Parallelität der Interpretation, dem die Konjunkte isoliert genommen nicht unterliegen. Anders gesagt: In koordinierten Strukturen werden die Interpretationsspielräume der Konjunkte in systematischer und für alle Konjunkte gleichartiger Weise eingeschränkt. Diese Art der Gleichartigkeit haftet den Konjunkten nicht an sich an, sondern sie wird ihnen im Zusammenhang der Koordination zugewiesen" (Lang 1977: 47).

<b>Kerim Bey [e]</b>	How is she gonna get the machine over to us?
<b>Kerim Bey [g]</b>	<b>Und</b> wie will sie die Maschine zu uns bringen?

### **Repetition:**

Lexical repetition and structural parallelism are typical characteristics of spoken discourse and as such very frequent in both the source and the translation texts. Repetition in discourse is a marker of expressive language use and signals the active involvement of the speaker in the communicative event (cf. Bublitz 1989; Tannen 1989; Johnstone 1994; Schwitalla 1997). The double issuing of one linguistic structure establishes an iconic connection between utterances or turns and has the effect of focusing the information connected with it. Often, as in (8.60) below, the parallel structures also express wordplays for ironic effect. In the German translations, the repetitive structures of the source text's utterances are usually preserved. However, they are varied by the addition of modality markers and markers of cohesion – which in some cases has a somewhat blurring effect on the parallelism of the structures. In example (8.60), the cohesion between the turns is additionally expressed by the utterance-initial UND and the substitution of MANCHE MÄNNER by the indefinite pronoun MANCHE as anaphoric pro-form.

(8.60)

	24	25
<b>007 [e]</b>		No. <b>Some men just don't</b>
<b>007 [g]</b>		<b>Und <u>manche</u> lassen sich</b>
<b>Fiona Volpe [e]</b>	<b>Some men just don't like to be driven.</b>	
<b>Fiona Volpe [g]</b>	<b>Manche Männer lassen sich nicht gern fahren.</b>	
	..	
<b>007 [e]</b>	<b>like to be taken for a ride.</b>	
<b>007 [g]</b>	<b>nicht gern- überfahren.</b>	

Likewise in (8.61) below, utterance-initial UND is used as an additional marker of cohesion.

(8.61)

	1	2
<b>Tatjana Romanova [e]</b>		<b>My friends call me Tanja.</b>
<b>Tatjana Romanova [g]</b>		<b>Meine Freunde nennen mich</b>
<b>007 [e]</b>	Jaah. So you are Tatjana Romanova.	
<b>007 [g]</b>	Aaha. . Sie sind Tatjana Romanova.	

	3
Tatjana Romanova [g]	Tanja.
007 [e]	Mine call me James Bond. . .
007 [g]	<u>Und</u> meine nennen mich James Bond. .

The insertion of modality markers inside parallel structures is also frequent in the German translations. It allocates the expression of the speaker's attitude a prominent place in the structural make-up of the utterance. See BLOSS in example (8.62) and DENN in (8.63)

(8.62)

	9
Natalya Simonova [e]	How can you act like this. <b>How can you be</b> so cold.
Natalya Simonova [g]	Wie kannst Du Dich nur so aufführen?. <b>Wie kann man <u>bloß</u></b> so kalt
	..
Natalya Simonova [g]	sein.

(8.63)

	12
Tiger Tanaka [e]	This is an order for naval stores. Five hundred kilos of butter, <b>fifty</b>
Tiger Tanaka [g]	Das sind Bestellungen für ein Versorgungsmagazin der Marine.
Desc [nv]	<i>examining the papers</i>
	..
Tiger Tanaka [e]	<b>containers of lox. . What is lox?</b>
Tiger Tanaka [g]	Fünfhundert Kilo Butter, <b>fünfzig Behälter mit Lox- . was ist <u>denn</u> Lox?</b>

### Ellipsis:

Elliptical utterance patterns are frequently used as cohesive devices in the English source texts. The German translations usually provide grammatically complete structures in the place of the elliptical ones of the source texts. In (8.64), none of the three structural ellipses of the source text is preserved in the translation.

(8.64)

	27	28
007 [e]		<b>But one. A professional job.</b> She must be
007 [g]		<b>Schön wär's. Es war ein Profijob.</b> Es muss
M [e]	<b>Any leads on the sniper?</b>	
M [g]	<b>Sind Sie dem Killer auf der Spur?</b>	

007 [e]	working for someone. .
007 [g]	sie jemand beauftragt haben. .

In (8.65), the source text's textual ellipsis is changed into a grammatically complete if referentially divergent structure.

(8.65)

17	
007 [e]	<b>Red wine with fish.</b> Now, that should have told me something.
007 [g]	<b>Ein Engländer trinkt nie roten Wein zum Fisch.</b> . Das hätte mir eine Warnung sein

007 [g]	müssen.
---------	---------

Next to grammatical completeness, explicit cohesiveness within and across turns appears to be a second major motivation for supplementing the elliptical linguistic structures of the source text. For example in (8.66) below, the English utterance SET OFF A NUCLEAR DEVICE and the ensuing CREATES A PULSE are only implicitly connected by juxtaposition in the source text. In the German translation, the composite deictic DADURCH serves as a communicative 'pivot' linking the current utterance in a causal (instrumental) relation to the preceding one (both underlined).

(8.66)

12	
M [e]	<b>Discovered after Hiroshima . set off a nuclear device in the upper atmosphere .</b>
M [g]	<b>Entdeckt nach Hiroshima.</b> . <u>Man zündet eine Atombombe in der oberen Atmosphäre.</u>

M [e]	<b>creates a pulse .</b> a radiation surge that destroys everything within an electronic
M [g]	<u><b>Dadurch entsteht ein Impuls.</b></u> <b>Ein so genannter Strahlungsstoß der sämtliche</b>

M [e]	circuit.
M [g]	elektronischen Einrichtungen lahm legt.

Likewise in (8.67), the additional utterance-initial coordinating conjunction UND in combination with the co-occurring composite deictic DAMIT connect the current utterance in an instrumental relation to the preceding ones.

(8.67)

13	
<b>M [e]</b>	Well now that you're dead, . perhaps some of your old friends will pay a little less
<b>M [g]</b>	Bond, <u>jetzt wo Sie tot sind</u> . werden sich Ihre lieben Freund kaum noch für Sie
..	
<b>M [e]</b>	attention to you for a while. . <b>Give you more headroom.</b> .
<b>M [g]</b>	interessieren. <u>Tote vergisst man schnell.</u> <b>Und damit</b> haben Sie Bewegungsfreiheit.

In the place of the source text's textual ellipsis in (8.68), the German translation again realizes a fully explicit structure. In this case, the linking adverbial ALSO expresses an additional cohesive relation of consequence between the turns.

(8.68)

21		22	
<b>M [e]</b>	And Elektra will be the next target.		
<b>M [g]</b>	Und dieses Mal ist Elektra sein Ziel.		
<b>007 [e]</b>		<b>The worm on the hook again.</b>	
<b>007 [g]</b>		<b>Sie darf <u>also</u> wieder den Köder spielen.</b>	

### 8.2.2.3 Explicitness

Closely linked with the realization of cohesive relations is the question of referential explicitness. As we have seen in the previous sections, compared to the English source texts, the logico-semantic relations between utterances are usually made more explicit in the German translations. Furthermore, the German translations generally provide a larger amount of 'linguistic material' for the expression of the speaker's attitude towards the propositional content and the communicative situation. Examples (8.69) to (8.71) highlight once again the greater explicitness of logico-semantic relations and speaker attitudes in the German translations through the use of additional conjunctions and modality markers.

(8.69) Additional conjunction and modal particle

36	
<b>Red Grant [e]</b>	No, she thinks she's doing it all for Mother Russia. . She takes her orders from
<b>Red Grant [g]</b>	Nein. . Sie denkt sie tut es für Mütterchen Russland. . Sie hat ihre Befehle von
..	
37	
<b>007 [e]</b>	Rosa Klepp's Russian. [...]
<b>007 [g]</b>	<b>Aber</b> Rosa Klepp ist <b>doch</b> Russin . [...]
<b>Red Grant [e]</b>	Colonel Klepp.
<b>Red Grant [g]</b>	Oberst Klepp bekommen. .



(8.70) Additional modal word

	21	22
<b>Dr. Kaufmann [e]</b>		Hm nonono. This is more like a
<b>Dr. Kaufmann [g]</b>		Hahaha neinnein, das ist
<b>007 [e]</b>	Do you have a doctorate in that too?	
<b>007 [g]</b>	Haben Sie darin auch einen Dokortitel?	

	..
<b>Dr. Kaufmann [e]</b>	hobby. But I'm very gifted.
<b>Dr. Kaufmann [g]</b>	das ist <b>wohl</b> eher ein Hobby, . aber ich bin sehr begabt.

(8.71) Additional modal particle

	28	29	30
<b>Honey [e]</b>		Ha, don't bother?	
<b>Honey [g]</b>		Sagen Sie nicht Zeug dazu.	
<b>007 [e]</b>	Hey, don't bother with those now!		Are they
<b>007 [g]</b>	Lassen Sie das Zeug jetzt liegen.		Sind die Dinger
<b>Desc [nv]</b>	<i>Honey collects the shells</i>		

	..
<b>007 [e]</b>	valuable ?
<b>007 [g]</b>	<b>denn</b> wertvoll?

Apart from strengthening cohesive relations and the enhanced expression of speaker attitudes, translational shifts in explicitness also relate to the denotative precision of linguistic items and structures. For instance, anaphoric and indefinite pronouns are often translated by lexical expressions. As a consequence, the overall amount of information given in the translations is increased. See examples (8.72) and (8.73) below.

(8.72) Anaphoric pronoun vs. lexical expression

	7
<b>007 [e]</b>	Fifteen billion dollars . in gold bullion, weighs ten thousand five hundred tons. Sixty
<b>007 [g]</b>	Fünfzehn Billionen Dollar . in Goldbarren . wiegen zehntausendfünfhundert Tonnen.

	..
<b>007 [e]</b>	men would take twelve days to load it on to two hundred trucks. Now at the most, you're
<b>007 [g]</b>	Sechzig Mann würden ungefähr zwölf Tage brauchen um sie auf zweihundert Lastwagen

	..
<b>007 [e]</b>	gonna have two hours before the army, navy, air force, marines move in and make you
<b>007 [g]</b>	zu verladen. Sie haben aber höchstens zwei Stunden Zeit bevor die Armee, die Marine

..

007 [e]	put it back.
007 [g]	und die Luftstreitkräfte anmarschieren und Sie zwingen <b>das Gold</b> wieder rauszurücken.

(8.73) Indefinite pronoun vs. lexical expression

12

Miss Dufaux [e]	They were working on something very secret. But <b>everything's</b> been moved.
Miss Dufaux [g]	Sie haben an etwas gearbeitet das streng geheim war. Aber <b>die Arbeiten</b> sind

..

Miss Dufaux [g]	verlegt worden.
-----------------	-----------------

Similarly, BE as main verb is translated by lexical verbs and third person generic reference is translated by specific reference through the introduction of names, lexical expressions, and the addition of definite articles<sup>125</sup>. See examples (8.74) to (8.77)

(8.74) BE as main verb vs. lexical verb

..

007 [e]	There had to be an insider . . . . at least one person probably knows who it <b>is</b> .
007 [g]	Es muss einen Insider gegeben haben. . . . Und es könnte eine Person geben die ihn

..

007 [g]	vermutlich <b>kennt</b> .
---------	---------------------------

(8.75) Generic vs. specific reference (name)

38

007 [e]	Now all I have to do is to tell <b>the girl</b> the date.
007 [g]	Jetzt brauch ich <b>Tanja</b> nur noch zu sagen wann es losgehen soll.

(8.76) Generic vs. specific reference (lexical expression)

13

Felix Leiter [e]	Now there's <b>the man</b> himself.
Felix Leiter [g]	Oooh, da ist ja <b>der Meister</b> persönlich.

<sup>125</sup> The use of definite articles increases explicitness because it marks the following noun as knowledge shared by both speaker and hearer (cf. Ehlich 2003).

(8.77) Bare noun vs. definite article

27	
<b>Tiffany Case [e]</b>	Hi Ernst! . Is <b>superman</b> giving you any trouble?
<b>Tiffany Case [g]</b>	Na Ernst, . <b>der Supermann</b> macht Dir wohl wieder Ärger was?

Finally, ambiguous utterances such as I KNOW THE BEST PLACE IN TOWN in (8.78) below are flattened to express one meaning only.

(8.78)

41		42	43
<b>Jill Masterson [e]</b>		Where?	
<b>Jill Masterson [g]</b>		Wo?	
<b>007 [e]</b>	I'll tell you at dinner.		Well I know <b>the best place</b>
<b>007 [g]</b>	Das sag ich Dir beim Abendessen.		Ich kenne <b>das beste Lokal</b>

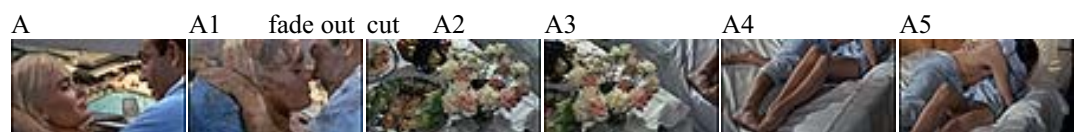
  

43	
<b>007 [e]</b>	<b>in town.</b>
<b>007 [g]</b>	<b>in der Stadt.</b>

In the source text, the visual information which follows the utterance (the scene fades into a dinner table in the bedroom of a hotel suite and the former interlocutors are seen in bed together) points back to the utterance and thereby reveals it as ambiguous.<sup>126</sup> Obviously, the BEST PLACE IN TOWN did not refer to having dinner in 'the best restaurant in town' but, literally, to dinner at the 'place' which the speaker judges as the best one in town. Following the conventional meaning of THE BEST PLACE IN TOWN, the translation realizes DAS BESTE LOKAL. The German translation provides an alternative connection between verbal and visual meaning. This results in a different logical relation between the verbal and the visual information in the German translation because the utterance, in a way, contradicts the meaning of the following visual information

Similarly, in (8.79) the expression FULSOME FRIEND refers anaphorically to the visual information of a buxom woman. Unlike the German translation SCHAUBUSENBESITZERIN, the linguistic expression in the source text does not make explicit reference to the breasts of the woman.

126



007: Well I know the best place in town.

007: Ich kenne das beste Lokal in der Stadt.

(8.79)

	2
<b>Tiffany Case [e]</b>	Sorry about your <b>fulsome friend</b> . I bet you really miss her.
<b>Tiffany Case [g]</b>	Schade um Ihre <b>Schaubusenbesitzerin</b> . Da ist Ihnen viel aus der Hand geglitten.

In summary, the translation relation between English and German reveals the most conspicuous similarities and differences in the areas of the linguistic expression of modality, cohesion and explicitness. While the German linguistic system essentially possesses the same, or functionally equivalent, means to realize the expression of modality, cohesion and explicitness in analogy to the source text, the translations nevertheless only follow these structures to a certain extent. What seems to be the rule is that whenever modality – i.e. the speaker's attitude – is expressed in the source text, it is also realized in the translation. But without any apparent regularity in terms of the lexicogrammatical context of the source text utterance and the communicative function of the utterances, the linguistic realization of the speaker attitudes varies in the translations.<sup>127</sup> Furthermore, the expression of speaker attitudes is often enhanced by additional markers of modality, or indeed, added to previously non-modalized utterances.

The addition of linguistic elements is also a frequent phenomenon in the area of the expression of logico-semantic relations. In comparison to the English source texts, the translations are rendered more explicitly cohesive. The sequencing of information is more closely connected to cause and effect relations and chronological progression.

The addition of cohesive links in the translations is, at the same time, one reason for their comparatively greater referential explicitness. Another factor in this respect is the substitution of vague, indefinite and ambiguous grammatical and lexical units by referentially explicit and denotatively precise structures.

The qualitative corpus analyses do not suggest that the frequency and the choice of linguistic elements for the expression of modality, cohesion and explicitness change over time. An exception to this appears to be the case of visual-verbal cohesion which will be presented in Chapter 9.

The effects of these translational shifts on the textual functions of the film texts, the communication of meaning in the diegetic and extradiegetic communicative constellations, and a potential influence of the English language on German communicative conventions will be discussed at length in Chapter 10. At present, in a preliminary fashion, they can be summarized as follows: Changes in the linguistic expression of modality, cohesion and explicitness result in an increased informational density in the German translations. Informational density is understood as the amount of non-redundant linguistic material (cf. Doherty 2002). To put it bluntly, the German translations provide 'more' information. This information is always an 'autonomous' addition to the utterance, i.e., it is neither partly nor wholly identical with information already provided by other linguistic items. Thus, the additional linguistic items in the translations enrich the informational content of the utterances. The increased informational density is manifest in the closely knitted web of logical connections between propositions

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<sup>127</sup> A larger database would perhaps reveal regularities.

and in a heightened degree of affective expressiveness. Hence, a translated film text presents more information through more linguistic elements but in the context of the same amount of visual information.

In an equally preliminary fashion, I will try to relate the results presented so far to the overarching research question of the present thesis, namely source text-induced language variation in German translation texts. As was discussed in Chapter 2 above, an English influence on language use in German translations from English can manifest itself on two levels: First, an English influence could appear as changes related to the systematic differences between English and German such as, for example, variation in the preferred patterns of information structure on sentence level (i.e. word order). Secondly, it could become evident on the discourse pragmatic level in a shift in the linguistic expression of communicative preferences, such that the German translations would display the same communicative styles as their source texts – i.e. Anglophone ones.

As expected, the results give no indication of source text-induced variation on the level of syntactic information structure in the German translations. That is, there are no signs of language systematic variation triggered by the English source texts in the German film discourses. One exception to this might be the case of the left-dislocated adverbs and adverbials (cf. JEDENFALLS in example (8.23) above)<sup>128</sup>. However, the database is too small to go beyond the mere suggestion of such a variation. With respect to translation text variation in the sense of the linguistic expression of Anglophone communicative styles, it appears that the drive for cohesiveness and explicitness evident in the German translations represents those German communicative preferences for directness, orientation towards content and discourse semantics which are also associated with a variety of other spoken and written genres in German (cf. for example Byrnes 1986; Clyne 1987, 1994; House 1982, 1982 a,b, 1989, 1996, 2004b; Kotthoff 1989). At the same time, however, the frequent additional lexicalization of speaker stance, expressing the speaker's (affective) involvement in the communicative encounter resembles the pronounced interpersonal and interactive character which is usually more strongly associated with English communicative styles than German ones.

An explanation for this two-tiered result which, on the one hand, seems to show no direct influence of the English language on the surface structure of the German translational utterances, but, on the other hand, a shift in the communicative style of the German translations towards Anglophone conventions, probably will have to be sought on other levels than on the purely linguistic one. Such an attempt at the explanation of the results of the analyses will be made in Chapter 10.

This is where the analysis of the verbal information in film takes us. What is yet unaccounted for is the role of the second constituent of film texts – visual information. As the last two examples (8.78, 8.79) above indicate, the translational, or possibly specifically German drive for explicitness may be in some way related to the co-occurring visual information. In fact, the linguistic expression of cohesion and explicitness in the English and German film discourses appears to diverge the most when it refers to visual information. It is to this relation, i.e. the mapping of visual and verbal information and its diachronic development in film texts, that I will turn to in the next chapter.

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<sup>128</sup> For an etymological-functional analysis of JEDENFALLS and other adverbs in different spoken and written genres in German see Bührig (2004).

## 9 Visual-verbal cohesion: The mapping of visual and verbal information

There are four reasons for singling out cohesion between visual and verbal information – or, the mapping of visual and verbal information – for closer inspection. Firstly, to my knowledge, film texts and film translations have never been investigated in this respect. Secondly, it is the combination of verbal and visual information (i.e. multimodality) which establishes the special textual constitution of a film. Thirdly, as indicated above, cross-linguistic differences in English and German conventions of expressing cohesion and referential explicitness appear to be most marked at the interface of visual and verbal information. Finally, the corpus analyses point to a difference in the frequency of lexicalization of visual-verbal cohesion between the older and the more recent translations. Thus, as a sequel to the different preferences for the expression of logical relations and affective expressiveness which tighten the textual and interpersonal relations in the text described in the previous section, the aim of this chapter is to find out whether these observed differences are also found in the very particular instances of meaning construction in which the two semiotic modes actually interact. The second goal is to find out whether the linguistic expression of this interaction has undergone any tangible change between the 1960s and the 1990s.

The chapter is divided into two parts: Because cohesion is a concept which has up to now never been used in the analysis or theorizing of film texts, the first part of this chapter is concerned with its applicability to film texts and gives a general layout of the idea of verbal-visual cohesion: To this end, I will start by briefly returning to the textual constitution of film texts, refocusing their defining characteristic, i.e. the combination of the visual and verbal semiotic codes. A simple model of the nature of the relationship between verbal and visual information in film will be sketched. Next, the concepts of "cohesion", "exophoric reference" and "deictic spaces", as postulated by Halliday & Hasan (1976) and Ehlich (1982, 1987) respectively, are discussed with regard to the question of visual-verbal cohesion in film. Because none of these approaches offers a suitable way of accounting for the interaction of visual and verbal information in film, in a third step, a new model of cohesion across semiotic modes will be proposed. This model served as the guiding concept in the analysis of the combination of visual and verbal information in the corpus. Then, in the second part of the chapter, the results of the diachronic corpus analysis will be presented.

### 9.1 The combination of visual and verbal information in film

#### 9.1.1 Integration

A film text, as it is understood in the context of this thesis, consists of two constituents: a layer of visual information and a layer of verbal information. Both the visual and the verbal layers are of equal importance because it is only their combination which results in the fabrication of a more or less convincing illusion of reality onscreen for the extramedial audience. That is to say, the visual information does not merely serve as a backdrop in front of which the onscreen characters interact. Rather, their communicative interaction is firmly situated in

the depicted extralinguistic reality onscreen. It resembles very closely (in fact, mimics) the nature of communicative interaction in naturally occurring communicative situations, which is, among other things, characterized by the interaction of the participants with the physical surroundings of the communicative encounter.

In film, linguistic reference to the extralinguistic situation surrounding the participants in the communicative encounter serves at least two broad functions: First, it functions to support the construction of a convincing imitation of real-life communicative encounters. The participants make linguistic reference to the extralinguistic reality in order to make an object in the extralinguistic context the subject matter of the discourse. The second function of linguistic reference to the extralinguistic situation is to single out elements of the physical surroundings for the audience's attention.

This functional combination of verbal and visual information (i.e. the multimodality of meaning construction) is the defining characteristic of film texts. Visual and verbal meanings can be understood as being situated on two parallel levels of information which are integrated in specific ways to form one text. This 'oneness' is no coincidence, but the result of a carefully manufactured process of integration: In theory, the verbal and visual meanings in film could be seen as autonomous – each kind, as it were, telling their own part of the story in the service of a superordinate *quaestio* which defines the overall story of the film.

As much as this radically separatist view must appear unconvincing, it nevertheless helps to clarify that visual and verbal information, in fact, do not simply co-exist in a film text, held together by the external forces of the medium and by being subjected to the same *quaestio*, but that they are, on the contrary, internally related to each other in specific ways, which only fuse them together as one. This integration of visual and verbal meaning is realized by linguistic means.

The relation between visual and verbal information in film, then, can be recast in the following manner: The visual and the verbal are two parallel strands of information unfolding in time. Occasionally, initiated by linguistic means, the two are explicitly connected. Figure 18 and example (9.1) below illustrate this connection. The solid black vertical lines represent linguistic items and structures which explicitly refer to visual information. Visual information thus referred to is represented as a downward indenture in the dotted gray line. In other words, whenever a character refers to an object present in the extralinguistic situational context of the communicative encounter, he/she creates an explicit link between the ongoing talk and the physical environment, thereby pulling together for a moment the two layers of visual and verbal information and linking visual and verbal meanings.

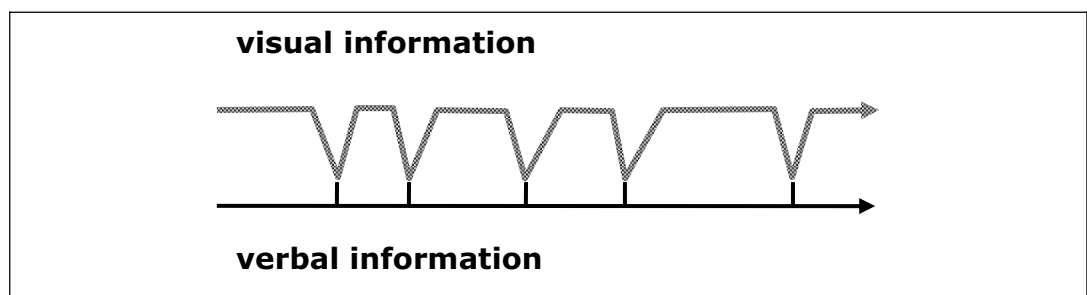


Figure 18 The integration of visual and verbal information in a film text.

(9.1)



I will argue that this kind of relationship between visual and verbal information in film can be accounted for as 'visual-verbal cohesion'. As will be shown in section 9.2 below, English and German appear to have different preferences for making reference to visual information and to integrate verbal and visual meanings in film texts. To be able to account for language specific preferences, a fine-grained modeling of the interaction between verbal and visual information is necessary. The present study, however, cannot venture very far in this direction. The steps leading to a model sufficient for the present purposes are discussed below. They are based on Halliday & Hasan's concept of cohesion and Ehlich's concept of "deictic spaces".

### 9.1.2 Cohesion and deictic spaces

This section does not provide a full summary of Halliday & Hasan's (1976) concept of cohesion, but focuses on their treatment of the relation between situational, or "exophoric", reference and cohesion. This is followed by a description of Ehlich's (1982) idea of a 'perception space' ("Wahrnehmungsraum") which is shared by the participants in a communicative encounter and to which the speakers make reference. The concepts of cohesion and exophoric reference on the one hand, and deictic spaces, on the other, stem from Systemic Functional Linguistics and the school of *Funktionale Pragmatik* ('functional pragmatics'), respectively. As discussed in section 5.3 above, functional-pragmatic theory follows an action theoretical concept of language and takes a purpose-oriented stance on communication which is comparable to the systemic-functional concept of language as a means of doing. Thus, both theories share a view of language as a means of interacting, and in both theories, communicative interaction is seen as context-dependent – although their actual modeling of 'context' differs (cf. section 5.1.1 above and Ehlich 1996, 2004; Ehlich & Rehbein 1986). The shared



orientation towards the function of linguistic items in the communicative event allows the combination of the two approaches in analysis.<sup>129</sup>

Halliday & Hasan give the following definition of "cohesion":

The concept of cohesion is a semantic one; it refers to relations of meaning that exist within the text, and that define it as a text. Cohesion occurs where the interpretation of some element in the discourse is dependent on that of another. The one presupposes the other, in the sense that it cannot be effectively decoded except by recourse to it. When this happens, a relation of cohesion is set up and the two elements, the presupposing and the presupposed, are thereby at least potentially integrated into a text. (Halliday & Hasan 1976: 4, my emphasis)

The basic distinction within this concept of cohesion which is relevant in the present context is the one between situational (exophoric) and textual (endophoric) reference. Exophoric reference refers to the context of situation enveloping the communicative encounter and endophoric reference refers to preceding or following linguistic items and structures and linguistically expressed meanings. Halliday & Hasan find that endophoric reference is cohesive while exophoric reference is not.

Exophoric reference is not cohesive, since it does not bind [...] two elements together into a text [...]. Exophoric reference contributes to the CREATION of text, in that it links language with the context of situation; but it does not contribute to the integration of one passage with another so that the two together form part of the SAME text. (Halliday & Hasan p. 18/37, emphasis in the original)

The central criterion for a cohesive relation – one element being necessary for the interpretation of another – at first glance seems to include the combination of visual and verbal information in the concept of cohesion. But the combination of verbal and visual information also coincides with Halliday & Hasan's description of the non-cohesive exophoric reference as signaling to the hearer that

the information required for interpreting some element in the text is not to be found in the text at all but in the situation [...] the environment in which the dialogue is taking place. (p.18)

The reason for excluding exophoric reference from the concept of cohesion appears to lie in Halliday & Hasan's presupposition of sequential relations as the precondition for cohesiveness between two informational units (cf. again the latter statements of their definition given in the first quotation on p. 278 above). As was shown in example (9.1) above, in film, the relation between visual and verbal information is predominantly one of redundancy, i.e. simultaneous occurrence.<sup>130</sup>

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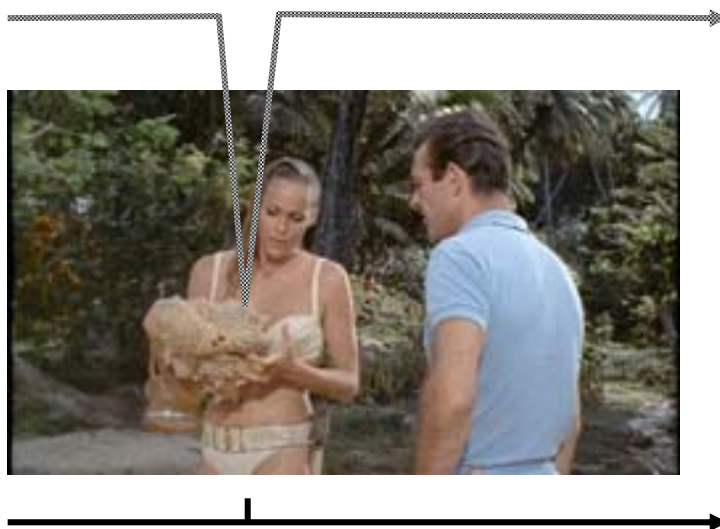
<sup>129</sup> See, for example, Böttger & Bührig (2004a) and Bührig & House (2004) for investigations using such a combined approach.

<sup>130</sup> It will be shown at the end of this chapter that verbal reference may also relate anaphorically and cataphorically to immediately following or preceding visual information.

In these cases, the interpretation of one element in the discourse is dependent on the simultaneous presence of another – a description which fully coincides with Halliday & Hasan's central criterion for cohesion.<sup>131</sup> Moreover, as described in the previous section, from the point of view of the audience, the situational context of the communicative encounter onscreen and the linguistically realized encounter itself constitute one text. Thus, in film, exophoric reference actually does integrate one element with another so that the two together do form part of the same text.

The fact that verbal and visual information co-occur is also relevant for the information organization of film texts. Simultaneous relations between meaningful elements influence the degree of the redundancy and the density of the information given, and the degree of referential explicitness which is thereby achieved. The linguistic resources for exophoric reference are proper names, pronouns and demonstratives (Martin 1992). Reconsidering example (9.1) ((9.1') below) the substitution of THIS ONE by THIS SHELL – the biological term – apart from having an odd ring in the communicative context, would increase the informational redundancy of this instance of the combination of visual and verbal information. The visual information denotes the object as 'a shell' and the verbal information "SHELL" would give the same information a second time.

(9.1')



THIS SHELL is worth 50 dollars

Hence, exophoric reference does not only bind together two co-occurring elements of the same text, its linguistic form also influences the redundancy relation between the visual and verbal meanings thereby integrated.

Within systemic-functional theory, cohesive relations are seen as textual relations. While the related units of the text can each have either ideational or interpersonal meanings, the cohesive item itself has textual meaning but it is not associated with a communicative function. A slightly different and more unequivocally pragmatic perspective on linguistic items and their relation to the

<sup>131</sup> Halliday & Hasan's view of exophoric reference as not cohesive is likely to be the consequence of the text types they investigated, which did not include multimodal ones.

situational context of the communicative encounter is provided by Ehlich (1982, 1987). He emphasizes the communicative function of cohesive linguistic means.

Ehlich argues for several different 'deictic spaces' ("Verweissräume") either enveloping the communicative encounter or being evoked by the communicative action. In the present context, only the 'perception space' ("Wahrnehmungsraum") encompassing the physical environment of the communicative encounter is of interest.

In the most basic communicative constellation (i.e. face-to-face communication) the speaker and the hearer are co-present and share the same perception space. That means, at least potentially, speaker and hearer can see, hear, smell, taste and touch the same objects present in the environment of the communicative encounter. In the process of communication, the speaker endeavors to direct the hearer's attention towards particular information – verbal as well as visual – in order to make him-/herself understood. This may involve reference to objects in the physical environment of the communicative encounter – the perception space. Even though Ehlich does not use the term, reference to the perception space can be equaled to "exophoric reference".

Exophoric reference, then, relates one particular aspect of the material 'here and now' of the communicative encounter to the subject matter of the discourse. The communicative function of this exophoric reference can be described in the following manner: Through the use of pronouns, demonstrative determiners, local and temporal deictic elements, the speaker focuses an object in the extralinguistic physical surroundings in order to make the hearer focus his/her attention on the same object. Exophoric reference changes the general potential perceptibility of surrounding objects into the active and conscious perception and contemplation of the one object which is the referent denoted by the exophoric reference item. Ehlich captures the function of exophoric reference as follows:

Insbesondere ist es erforderlich, die potentielle Wahrnehmbarkeit einer Vielzahl von Objekten des Wahrnehmungsraumes in aktuelles Wahrnehmen umzuwandeln. Dies bedeutet, dass S und H ihre Aufmerksamkeit gezielt bestimmten Auswahlen aus der Fülle des Wahrnehmbaren zuwenden. Diese Tätigkeit richtet den Fokus des Wahrnehmungsapparates zur Herstellung sinnlicher Gewissheit, auf einzelne Objekte usw. (Ehlich 1982: 118)

Exophoric reference serves to direct and control the hearer's reception processes. According to Ehlich, the attempt of the speaker to execute control over the hearer's processes of information reception is the 'fundamental dimension of communicative action' (Ehlich 1982: 121). The speaker prepares the ground for his/her subsequent utterances or attempts to pre-define the hearer's range of possible reactions.<sup>132</sup>

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<sup>132</sup> Within systemic-functional theory Martin (1992) gives an account of exophoric reference which is comparable to the concept of a shared perception space posited by Ehlich, albeit again lacking its explicit interpersonal-pragmatic dimension. Martin embeds exophoric reference in the concept of "phoricity". Phoricity is a more general concept than cohesion in that it only captures the different directions of the retrieval of presumed information and is not concerned with the linkage of different elements of the text. Following his notion of exophoric reference, the relevant linguistic items point in the direction in which the information required for their decoding is to be

The concept of a shared perception space is also useful for describing the diegetic and the extradiegetic communicative constellations in film. The diegetic participants (the characters) share one perception space; the extradiegetic participants (the viewers in the audience) do not physically share, but have visual access to this perception space. Whatever the onscreen, diegetic participants make exophoric reference to is simultaneously pointed out as the focus of attention for the extradiegetic audience.

### 9.1.3 A model of visual-verbal cohesion

For the analysis of visual-verbal cohesion in film texts, I adopted Halliday & Hasan's concept of exophoric reference, however, extended by the assumption of a cohesive function for exophoric reference. I also made use of Ehlich's description of the pragmatic function of exophoric reference to the communicative situation. Without being able to develop it further in the present context, I propose a three-dimensional model of textual cohesion in film texts (see Figure 19 below): Anaphoric and cataphoric reference integrate sequentially related verbal parts of the text. Exophoric reference integrates spatially related and temporally coinciding (or each other temporally closely following) verbal and visual information.

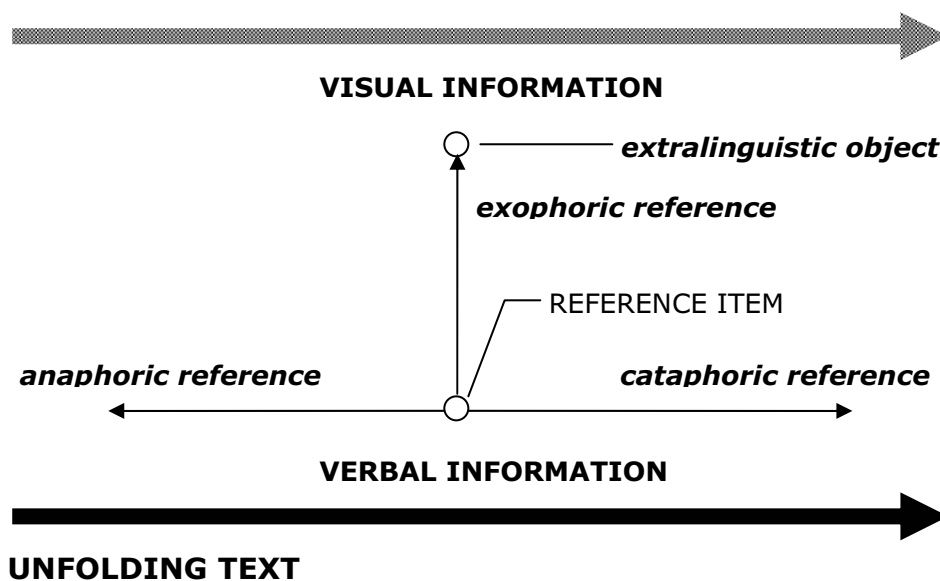


Figure 19 A model of visual-verbal cohesion in film texts.

In the theoretical and analytical framing of visual-verbal cohesion, another factor has to be taken into account. Visual-verbal cohesion is not dependent on the presence of an explicit exophoric reference item. The mere co-presence of visual

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found. Hence, they would function as instructions for the hearer where to retrieve the relevant information, but – in Martin's conception – not as a means of drawing the extralinguistic context into the text.

and verbal information has an 'adding' effect – or what Lang has called in another context "Parallelisierungseffekt" (Lang 1977: 47)<sup>133</sup> – on their meanings. That is, the visual and the verbal information are always interpreted as belonging together in a certain, if implicit way. The visual information is interpreted as contributing to the meaning of the utterances and vice versa because viewers will always involuntarily try to establish a meaningful relation between the two layers of information they are presented with. This is not to say that all co-occurrences of visual and verbal information are cohesive, but rather that the link between the verbal and the visual information need not be linguistically explicit and still can be cohesive. Examples for this phenomenon will be given in the next section.

It follows that the repertoire of linguistic resources for signaling that the information required for interpreting verbal meaning is to be recovered from the co-occurring visual information is broader than that of verbal cohesion. Beyond structural phenomena such as ellipsis, the classes of pronouns and determiners, locative and time adverbials and proper names, the resources of visual-verbal cohesion include all linguistic expressions which realize a semantic connection with the visual information, and which single out for the hearer's attention both the linguistic expression and the visual information. In example (9.2) below, the utterance I ONLY PAY THEM LIP SERVICE does not refer to the activity the characters are currently engaged in. The verbal and the visual information are both fully explicit and carry different meanings. Still, by virtue of their co-presence, the verbal and the visual meanings are semantically connected and add up – in this instance to a pun in the service of the dramatic effect of irony.

(9.2)



male character: I only pay them lip service.

So while exophoric items proper – such as pronouns and demonstratives – embody an instruction to the hearer to retrieve the information necessary for interpreting the linguistic structure from elsewhere, the linguistic means for expressing visual-verbal cohesion additionally include those which merely connect fully explicit lexical meaning to fully explicit visual meaning.

In the next section, the results of the diachronic investigation of visual-verbal cohesion in the English film texts and their German translations, following the concept of cohesive exophoric reference just described, are presented.

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<sup>133</sup> Cf. n. 124 above.

## 9.2 Results of the diachronic analyses

The database for the diachronic contrastive analysis of visual-verbal cohesion consists of two data sets:

1.	1960s films	45 transcripts	English: 14465 words	German translations: 15125 words
2.	1990s films	38 transcripts	English: 9812 words	German translations: 10031 words

The linguistic phenomena referring to extralinguistic objects tracked in the transcripts are the following: personal pronouns<sup>134</sup>, demonstrative and possessive pronouns; demonstrative and possessive determiners, definite and indefinite articles, situational reference through so-called equative clauses (e.g. 'this is', 'das ist') – or, German "Objektdeixis" (Zifonun et al. 1997: 323/324) – locative and time adverbials (including secondary deixis, expressing spatial relations (e.g. 'over there'), and prepositional phrases), proper names, lexical expressions (including expressions initiated by mental and material processes (e.g. 'as you see')).<sup>135</sup>

For the interpretation of the frequency of these phenomena across the two time frames investigated, one preliminary step was necessary. Since the datasets are not exactly of equal size, the raw frequencies had to be normed in order to make them comparable. The basis for norming chosen is 1000. The norming formula is the following:  $(\text{number of occurrences} \div \text{tokens}) \times 1000$ .

The development of the use of linguistic elements realizing visual-verbal cohesion is displayed in Table 3 below:

	English	German translations
1960s	20.6	27.9
1990s	16.3	19.6

**Table 3 Occurrences of linguistic phenomena expressing visual-verbal cohesion (normed frequencies).**<sup>136</sup>

<sup>134</sup> Speaker-hearer deictic elements ('I', 'you', 'we', 'ich', 'Du', 'Sie', 'Ihnen', 'wir') are excluded. They denote the participants in the communicative encounter in their speech roles; as such they do refer to visual information – the speaker and the hearer – but not primarily to the physical environment of the communicative situation.

<sup>135</sup> In what follows the linguistic means which express visual-verbal cohesion are considered together – as one group, or cluster, of features. The corpus is too small to yield sizeable results for the use of each individual linguistic item.

<sup>136</sup> The normed frequencies have been subjected to a statistical test in order to see whether the distributions found and their development over time are significant or not. The statistical test applied is the chi square test, which is suitable for frequency data and small sample sizes. The

Even though the frequencies for the English and German texts are not statistically significant, the figures nevertheless represent a tendency and can serve to describe the relation between English film texts and their German translations and its development across the decades. The values in Table 3 above suggest that the use of linguistic phenomena which realize visual-verbal cohesion in the English and German texts undergo the same development of decline. At the same time, they seem to be getting closer in their frequency of use. Between the 1960s and the 1990s the values for the English texts fall by 20.8% and the values for the German translations fall by 29.7%. Compared to their English source texts the German translations of the 1960s show about 35% more occurrences of linguistic phenomena realizing visual-verbal cohesion. In the 1990s, this ratio has dropped to a value of approximately 20%.

The linguistic realization of visual-verbal cohesion can also be related to the mean length of the discourses:

	<b>English</b>	<b>mean length of discourses (words)</b>	<b>German translations</b>	<b>mean length of discourses (words)</b>
<b>1960s</b>	6.6	321.4	9.3	336.1
<b>1990s</b>	4.1	251.5	5.0	257.2

**Table 4 Occurrences of linguistic phenomena realizing visual-verbal cohesion in relation to the mean length of transcripts.**

In an English discourse of average length there are about six occurrences of linguistic elements which form a link with visual information. Over the time, their number decreases. From this perspective as well, the German translations in both time frames are characterized by higher figures. Like the English source texts, the translations show a decreasing development.

The higher values for the German translations throughout indicate that more linguistic material, i.e. more single, individually cohesive elements, are used for connecting the extralinguistic context of the communicative encounter to the subject matter of the discourse. Closer analysis revealed that the higher values for the translations are the result of giving two or even three or four times the number of cohesive elements as in the source text. See example (9.3) below in which JB violently rips a film out of the woman's photo camera. He ends this action with a remark addressed to the man on the right.

---

observed differences between the frequency of use of linguistic items referring to visual information in English film texts and their German translations and the diachronic development are not statistically significant. The importance of the statistical significance of the frequency counts for the overall question of source text-induced changes in communicative preferences in German translation will be addressed in Chapter 10.

(9.3)

A



A1



A2



JB: Second time nothing's come out.

JB: **So. . Jetzt** hat sie nicht mal mehr den Hut drauf.



In the English source text, the relation between the verbal and the visual information is implicated. In contrast, the translation features two explicit deictic elements: SO and JETZT.

SO is a so-called "Aspektdeixis" (Ehlich 1987 and cf. Zifonun et al. 1997) which points to a particular characteristic of an object or event – here, finishing the action of removing the film from the camera. The time adverb JETZT focuses the endpoint of the action and explicitly introduces the ensuing utterance as its immediate consequence. The English utterance does not feature explicit deictic elements pointing to specific parts of the depicted action. A referentially implicit connection between the verbal and the visual information is used, which results in a vague relation between the visual and the verbal meanings.

The diachronic contrastive analysis suggests that this multiplying of reference items and the greater referential explicitness in the German translations does not change over time, even though the total number of verbal reference to visual information decreases. This non-variation in verbal-visual reference may be either the result of the prevalent communicative preferences in German or a particular characteristic of translations in general. The question of explicitness as a universal feature of translations or a specifically German communicative preference will be addressed in Chapter 10. In the remainder of this section what appear to be the general trends of the linguistic expression of reference to visual information between the English source texts and their German translation are presented.

In approximately half of the instances of linguistic reference to the visual context in the English source texts a lexicogrammatically comparable structure is also used in the German translations. See the comparative reference through pro-forms (THE BIGGER ONE / DEN GRÖßEREN) in example (9.4) and the equative clause (THIS IS / DAS IST) realizing an *Objektdeixis* in (9.5) below.

(9.4)



JW [left]: No **the bigger one**, the sledge.

JW [left]: Nein **den größeren** den Vorschlaghammer.

(9.5)

A



FV [right]: Well. This is as far as I go.

---

FV [right]: Endstation. Weiter fahr' ich nicht.

A1



JB: Yes. Me too. **This is my hotel.**

---

JB: Na fabelhaft. **Das ist mein Hotel.**

For the other half of the instances of linguistic reference to the visual context, three major strategies of lexicalization are discernible. 1. Additional deictic elements are introduced into the discourse. They tighten the cohesive relation between the verbal and the visual information. 2. Markers of interpersonal involvement – such as interjections, exclamations, modal particles and modal words are added. They express the speaker's attitude towards the visual information referred to. 3. Entirely different linguistic forms for expressing reference to visual information are used. I will illustrate these three strategies in turn.

**Additional linguistic elements referring to visual information:**

In example (9.6) below, the time adverb JETZT provides an additional focus on the here and now of the communicative situation.

(9.6)

A



A1



JB: Oh, it's lost its chill.

---

JB: Oach, **jetzt** ist er abgestanden.

In (9.7), the additional locative deictic expression HIER explicates the direction in which speaker and hearer turn their attention. In example (9.8), the use of HIER coincides with the pointing gesture by the speaker, which doubles the reference to the visual information.

(9.7)



G [OFF]: You are looking at an industrial laser, .

---

G [OFF]: Sie sehen **hier** einen Laserstrahler vor sich.

(9.8)



JB [right]: Oh. I'd like that negative enlarged. Right?

---

JB [right]: Achja, ich ähm hätte gern dieses Negativ **hier** vergrößert.

Next to the addition of single deictic elements, more complex structures such as equative clauses (e.g. 'das ist', 'dies ist', 'hier ist') are frequently inserted in the translations. In equative clauses the deictic element (e.g. 'das', 'dies', 'hier') serves to focus the visual information while the ensuing predication with a form of SEIN serves to specify an attribute of the object denoted by the deictic element. Equative clauses realize what is called "ostensive Definition" by Ehlich (1994a). More than being a means of focusing visual information, he sees the deictic element as orienting the hearer (in film, both the diegetic and extradiegetic) towards the object denoted by the following noun. Bührig (2002/2004a) is the first to address the use of *ostensive Definition* in German as a means of referring to visual information in spoken discourse. See examples (9.9) and (9.10) below:

(9.9)



O [left, to JB, OFF]: Miss Brandt, my . confidential secretary.

---

O [left, to JB, OFF]: **Das ist** Miss Brandt. Meine Privatsekretärin.



(9.10)



Q [left]: It's the insurance damage waiver for your beautiful new car. .

---

Q [left]: **Das hier ist** eine spezielle Zusatzversicherung für Ihren wunderschönen neuen Wagen

Vague locative references are often rendered more explicit in the German translations through the addition of secondary deictic elements which express precise spatial relations. DA VORNE in example (9.11) is a combination of a locative adverb DA ('there') and a secondary deictic element VORNE ('ahead') which expresses the direction of the orientation towards DA. DA VORNE provides a comparatively more precise locative description of the object the speaker has in view than the English THAT'S IT.

(9.11)



WL [OFF]: Yeah. That's it.

---

WL [OFF]: Ja, **da vorne**.

The same functional description applies to HIER DRAUF ('here on') in (9.12). In this example, the source text utterances TAP TWICE. ONE, TWO features no explicit verbal reference to the visual information.

(9.12)

A



A1



Q [left]: Tap twice. One, two.

---

Q [left]: Sie drücken zweimal **hier drauf**. Eins, zwei.

The addition of conjunctions and composite deictic elements serves both verbal and verbal-visual cohesion. Often accompanied by gestures or other body movements, parts of the semantic meaning of the connective elements is, as it were, explicitly connected with the physical interaction between the participants. Next to the creation of cohesion between utterances, the function of the connectives in these contexts can be seen as facilitating the especially smooth linkage of verbal and visual information. See for example the uses of utterance-initial ABER and UND in (9.13) and (9.14), respectively, and note the movements of the speakers' hands.

(9.13)

A



Woman: I've never been to Severnaya.

---

Woman: Ich war nie in Severnaja.

A1



JB: Your watch has.

---

JB: **Aber** Ihre Uhr schon.

(9.14)

A



A1



V.Z.: Bond. James Bond!

---

V.Z.: Bond. James Bond!

A2



VZ: Meet Nina and Verushka.

---

VZ: **Und** das sind Nina und Veruschka.

Another type of addition is the use of articles in order to render nominal reference more precise. In example (9.15), the indefinite and in (9.16) the definite article is added to the German translation, while in their respective source texts bare nouns are used to refer to the visual information. In both cases, the articles provide a closer specification of the objects referred to, explicitly marking them as 'unknown' information (knowledge specific to the speaker) in (9.15) and 'known' information (knowledge presupposed to be shared by the speaker and the hearer) in (9.16).

(9.15)



JB [right]: Beautiful place Goldfinger has here.

---

JB [right]: **Ein** wundervoller Besitz den Goldfinger hier hat.

(9.16)



AT [left]: Watch!

---

AT [left]: **Die** Uhr!

Note that in this last example as well as in (9.8) above, the additional linguistic item supports a pointing gesture by the speaker.



**Additional markers of interpersonal involvement:**

Very frequently interjections, discourse markers, modal words and to a slightly lesser extent exclamations are added to the translations. They increase the informational density of the translation texts because they add meaning which is not encoded in the source texts.

Interjections and discourse markers are used to immediately affect the hearer and his/her course of actions, without using propositional structures. They are also expressive of the speaker's emotional attitude towards the subject matter of the discourse and the communicative task he/she is involved in (cf. Ehlich 1986). When they are used to refer to visual information, they serve to orient the hearer's attention towards a particular object in the physical environment of the communicative encounter. Exclamations, which in contrast to interjections, have clearly delineated semantic meaning, are likewise expressive of the speaker's emotions and they also direct the hearer's attention towards particular visual referents. Interjections and exclamations usually function as initiators for a subsequent utterance. The ensuing utterance will be interpreted on the basis of the meaning expressed by the initial interjection or exclamation (Biber et al. 1999).

In example (9.17), the interjection HMM MMH simultaneously singles out the gun as the joint focus of the speaker and hearer and expresses the speaker's appreciation (Zifonun et al. 1997) of the gun.

(9.17)



JB [right]: . That gun. . Looks more fitting for a woman.

---

JB [right]: **Hmm mmh**, ein schönes Gewehr. Passt eigentlich mehr zu einer Frau.

In (9.18), AH emphasizes the speaker's orientation towards the aquarium and expresses recognition of what he perceives there.

(9.18)



JB [right]: Artificial light. We could be hundreds of feet beneath the sea here.

---

JB [right]: **Ah** künstliche Beleuchtung. . Wir sind bestimmt tief unter dem Meeresspiegel.

In (9.19), the exclamatory **DONNERWETTER** expresses the speaker's surprise and technical appreciation of the infrared telescopic sight through which he watches a billboard. The exclamation focuses the hearer's attention on the speaker's activity – that is, it aligns the hearer's attention with the speaker's current preoccupation with one particular technical detail.

(9.19)



KB [OFF]: Infrared lens.

---

KB [OFF]: Eine Infrarotlinse, . **Donnerwetter**.

In (9.20), the modal particle **DENN** – a so-called "modusrelevante Partikel" (Zifonun et al. 1997: 614) which expresses an intensification of the mood of the

utterance<sup>137</sup> – explicates and thereby strengthens the interrogative force of the question. In addition, it can be argued that through the use of the particle DENN an expression of the speaker's attitude towards the action (possibly astonishment) is made explicit. As a consequence, the activity DENN refers to – i.e. the stroking of the male character's back – acquires additional salience.

(9.20)



male character [left]: Now, what are you looking for?

---

male character [left]: Naa? Was suchst Du **denn**.

In (9.21), the additional modal word VIELLEICHT explicates the speaker's evaluation of his subsequent activity. In this case, the visual information in A1 seems to function as a referential 'peg' for the lexicalization of the speaker's attitude.

(9.21)

A



JB [left]: This is going to hurt a bit.

---

JB [left]: (E)s wird **vielleicht** 'n bisschen weh tun.

---

<sup>137</sup> Cf. also König et al. 1990.

A1



### Alternative structures:

In at least one third of all cases of the linguistic expression of visual-verbal cohesion, the German translations use alternative linguistic structures to refer to visual information.

For example, indefinite articles in the English source texts are often replaced by definite ones in the German translations. In general, definite articles mark the information they refer to as 'known'. With respect to visual information, the definite article consequently points to precisely one of the visible objects, singling it out as the focus of attention. This results in a stronger cohesion between the verbally expressed meaning and the visual information. In example (9.22) below, the English expression **CYANIDE IN A CIGARETTE** refers, as it were, generically to the general idea of having a dose of cyanide in a cigarette. The German translation, instead, focuses the particular instance of finding cyanide in one specific cigarette, namely the one the speaker is contemplating.

(9.22)



PS [OFF]: Tse tse. Cyanide in **a** cigarette, fantastic.

PS [OFF]: Zyankali in **der** Zigarette. Ist ja was ganz neues.



The increase in denotational explicitness achieved by the substitution of indefinite articles with definite ones is also reached by lexical means. Very frequent is the substitution of pronominal reference by lexical nouns. The lexical expressions make a greater amount of semantic meaning explicit than the pro-forms do. Compare the use of the pro-form ONE to KUGEL in the German translation in (9.23). While the interpretation of ONE solely relies on the hearer's making the connection between the pro-form ONE, the gun and the implicated concept of firing bullets, to which the pro-form refers, the German translation makes this link between the gun and the bullet ('Kugel') explicit.

(9.23)



RG [left]: The first **one** won't kill you.

---

RG [left]: Die erste **Kugel** wird Sie nicht töten.

Furthermore, demonstrative pronouns and locative adverbs are frequently substituted by nominal expressions. For example, THIS is translated by the prepositional phrase ÜBER DIE SCHULTER and HERE by AUF DER INSEL. Finally, referentially vague lexical expressions of the source texts are replaced by explicit ones in the translations.

The communicative effect of these changes influences the textual as well as the interpersonal function of the text. Textually, the translations display a greater redundancy between the verbally and the visually given meanings. On the interpersonal level, the utterances are more "direct" (House 1996), i.e. communicatively straightforward and unequivocal, than those of the English source texts. For example in (9.24) below in which JB zips up the woman's dress, the English utterance NO WONDER YOU CAN GET DRESSED SO QUICKLY accompanied by his distinct glance down her back, implicates that the woman is naked under her dress. In the translation, this implication is made explicit and directly addressed to the woman in the question TRÄGST DU ZUR KETTE NIE MEHR ALS EIN KLEID?. Both, visual-verbal redundancy and the interpersonal orientation of the speaker are increased in the translation.

(9.24)



JB: Mmh. . . No wonder you can get dressed so quickly.

---

JB: Mh. . . Trägst Du zur Kette nie mehr als nur ein Kleid?

Similarly in (9.25), the compliment I'VE NEVER SEEN YOU AFTER HOURS. LOVELY is only realized by the turn-final LOVELY, while the preceding utterance serves as a frame, which – by means of the mental process SEEN – refers to the woman's appearance (dress, hairdo, jewelry) and raises the hearer's expectation as to what comment will follow. In contrast, in the German translation, IN ZIVIL ('in civvies') and FIGUR ('shape') directly refer to the woman's dress and her appearance as a whole. Thus, the whole turn is used to express a comparatively direct compliment.

(9.25)



JB [right]: Mmh I've never seen you after hours, Moneypenny . lovely.

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JB [right]: Mh so in Zivil machen Sie eine hervorragende Figur Moneypenny.

The textual effects of the differing ways of expressing visual-verbal cohesion in English and German on the German translations can be summarized in the

following way. Overall, compared to their English source texts, the German translations display an enhanced visual-verbal cohesion. Visual reference is spatially more precise through the use of additional deictic elements. The additional elements not only characterize the location of the visual referent more closely, but also provide a more detailed description of their (external) features. The use of equative clauses for the expression of *Objektdeixis* has the same effect. As a consequence of the increased amount of linguistic material used to focus the visual referent, the referential explicitness and also the visual-verbal redundancy of the translations are increased. The instances where the verbal and the visual interlock are also used to add the linguistic expression of interpersonal involvement – mainly through modality markers and interjections. Conjunctions and composite deictic elements express additional or explicate existing logical relations between verbal and visual information, which are only implicated in the source texts. In comparison to their English source texts, these additions result in a greater informational density in the translations. To summarize, compared to their English source texts, the German translations are characterized by greater referential and denotative explicitness as well as by emphasized logical relations and the linguistic expression of the speaker's (affective) attitudes towards the visual information he/she perceives.

The corpus data suggest that this picture did not change significantly over the course of the twenty-eight years (1967–1995) which represent the time gap between the two time frames investigated. On the whole, the corpus counts indicate a reduced use of linguistic reference to visual information for both English and German, but the ways in which reference is expressed appears to stay the same.

Of course, the results presented here are genre-specific. There is certainly the possibility that the analysis of other types of films would render a different picture. Not the least depending on the genre, the amount of spoken discourse in film may vary from sparse and confined to selected scenes in action genres to genres in which the discourse has precedence over visual information such as for instance in domestic drama.

One other development within visual-verbal cohesion is conspicuous enough to be mentioned here. It has not so much to do with the verbal expression of cohesion, but with the temporal relations between visual and verbal information. There appears to be a slight change in the conventions of verbal reference to visual information. As explained above, linguistic reference is mostly temporally coinciding with the presentation of the visual referent. In the newer film texts, however, verbal reference to visual information appears to be more often than before either slightly cataphoric or anaphoric. Anaphoric reference to visual information is illustrated in (9.26) below: Visual information is introduced and verbal reference to it is only made a few seconds later. The visual information 'a plane' is given in (A), the linguistic reference A PLANE is deferred until frame (A2), where it is given across a cut to (A3) which returns to the visual referent.

(9.24)

A



A1



A2



A3



JW [right]: Borrowed **a plane** from a friend of mine at the DEA.

JW [right]: **Das Flugzeug** hab' ich von 'nem alten Kumpel bei der Anti-Drogenbehörde.

Note that in this example as well the definite instead of the indefinite article is used in the translation, marking the information DAS FLUGZEUG as 'known'. The reason for this translation might be that the plane is supposed to be already known to the hearers (both diegetic and extradiegetic) since they have already seen it. The English source text, however, encodes no such activating of the hearers' knowledge. Consequently, the cohesive relation between DAS FLUGZEUG and the visual referent is more explicit than the one in the source text.

To conclude, the greater cohesion in the German translations between visual and verbal information can take the form of increased redundancy between visual and verbal meanings, i.e. the same information is given through visual and linguistic means, and of increased informational density, i.e. more linguistic material with individual meanings is used to refer to the visual information. In each case, the textual space is more tightly packed with information in the German translations than in the English source texts.

Although the overall length of the translations has decreased to the extent that in the 1990s they are on average only about 2% longer than their source texts (falling from about 4%), it appears that the German translations always find the space to include one or more additional linguistic items which strengthen cohesion, increase explicitness or heighten the expression of interpersonal involvement. These effects, then, seem to belong to the major communicative goals of the German texts. The German translations appear to 'want' to be strongly cohesive, explicit and interpersonally expressive. In this respect, the parts of the discourses which are constituted by the combination of verbal and visual information are similar to those parts of the discourse which are not tied to co-occurring visual information (cf. section 8.2 above). This is a surprising finding because when there is co-occurring visual information which must be referred to



for the reason of its being referred to in the source text, the time span within which the reference and the additional linguistic items have to be accommodated in the translation is obviously limited. Therefore, when the translations follow the same communicative conventions even in textual contexts in which textual space is limited by external constraints, one might assume that these conventions are comparatively central to the communicative preferences and textual norms of the language.

How are these results of the analyses of English film texts and their German translations to be related to the starting hypothesis of source text-induced language variation in German translation texts? Chapter 10 discusses the results, first, in the light of differences in the textual functions of the English source texts and their German translations for the extradiegetic audience, secondly, in terms of their relation to the so-called universals of translation, and thirdly, with respect to the question of converging communicative preferences between English and German.

## 10 Film translation and language variation?

In this chapter, I will be concerned with three issues, thereby attempting to answer this thesis' overarching research question of a relation between film translation and target language variation in German. First, the results of the qualitative and the diachronic contrastive qualitative analyses will be revisited with respect to their effects on the INDIVIDUAL TEXTUAL FUNCTION of the translation texts as compared to their source texts. In particular, the differences between the functions of the English source texts and the German translations for the extradiegetic audience will be addressed. Secondly, because "explicitness" has been described as a universal feature of translation, the question will be addressed whether the observed differences in referential explicitness between the English source texts and the German translations are the inevitable consequence of the process of translation, or whether the results of the analyses indeed reveal language- and culture-specific German preferences in communicative style. Adopting the latter point of view, the findings of the analyses, finally, will be related to the starting hypothesis of a source text-induced change in the communicative preferences in German translations, which then could be considered as an indicator for an instance of register-specific language variation in German.

### 10.1 Differences in textual functions

According to the model of analysis used for this investigation (cf. Chapter 6 above) the INDIVIDUAL TEXTUAL FUNCTION of a text is represented by the relative weighting of the IDEATIONAL and the INTERPERSONAL functional components of the text. The contrastive analyses of the English film texts and their German translations show that the IDEATIONAL and the INTERPERSONAL functional components of the translations are somewhat differently shaped than those of their English source texts. The analyses revealed that this difference is the result of the particular German ways of the linguistic expression of modality and cohesion, and different preferences for degrees of referential explicitness and denotational precision in the texts. These characteristics, in turn, are the result of two broad translational strategies which emerged from the analyses: the addition of linguistic elements and the use of alternative information.

Additional linguistic elements and alternative information are used to change the quality of the modality, cohesion and explicitness expressed in the source texts. More precisely, the German translations display, on the one hand, an increased informational density – i.e. a greater amount of non-redundant linguistic material. On the other hand, the specific ways of mapping visual and verbal information result in an increased informational redundancy – in other words, the multiple expression of information by different meaningful (visual and verbal) structures. As a result, the German translations are on the whole much more tightly packed with explicated information than their English source texts. The explicated information entails a shift in the translations' discourse semantics. In contrast to the English source texts, the German translations display a much more closely knitted web of logical connections and a greater degree of affective expressiveness which conveys the interpersonal involvement of the speaker.

With respect to the text-internal, diegetic perspective, the high informational density and informational redundancy are vehicles for the semantically precise linguistic encoding of the subject matter, and especially for the pronounced expression of the speaker's personal involvement and his/her interpersonal orientation towards the subject matter and the communicative situation.

Regarding the extradiegetic communication between the audience and the film, the strongly marked cohesion and explicitness serve to focus the viewers' attention on particular parts of the discourse and the environment surrounding the communicative encounter. Referential ambiguities are leveled out. At the same time – and as a result – the speakers affective and intellectual attitudes and the logical relations between individual propositions and larger parts of the story come to the foreground in a more conspicuous way.

The general trend, then, can be described as follows: Vis-à-vis their English source texts, the INTERPERSONAL functional component is emphasized in the German translations, and the relations pertaining between ideational meanings are more strongly delineated. The audience of a German-dubbed film is presented with overall more distinctive meanings which are, moreover, distinctively related to and connected with each other.

## 10.2 Language-specificity vs. translation universals

The issue of explicitness is central to both the language pair English-German and the translation relation English-German. In studies investigating the nature of translated text, however, "explicitation", i.e. the greater explicitness of information in translation, is assumed to be one of the so-called "universals of translation". Universals of translation are assumed to be

linguistic features which typically occur in translated rather than original texts and are thought to be independent of the influence of the specific language pairs involved in the process of translation. (Laviosa-Braithwaite 1998: 288)

For the interpretation of the observed differences in explicitness between the English film texts and their German translations, it is crucial to clarify what are the effects of the translation process and what is an expression of language specificity.

For example, Baker (1995) and Laviosa-Braithwaite (1998) suggest four basic properties of translations: "normalization", "simplification", "leveling-out", and "explicitation". "Explicitation" in their sense refers to the assumed property of making information more explicit in translations than in comparable target-language texts.<sup>138</sup> Explicitness is thus seen as the inevitable consequence of the

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<sup>138</sup> "Normalization" refers to the assumed property of translated text to conform to target-language norms and register conventions maximally, or even to a greater extent than original target-language texts. "Simplification" is the assumed property of simplifying the linguistic structure of translated texts. "Leveling-out" means that for any set of translations, the individual translations are more similar to each other than a same-size set of original texts in the target language. Another property has been posited by (Kenny 2001), namely that of "sanitization", meaning the tendency of translated texts to prefer less marked lexicogrammatical means in terms of creativity and affect than original texts.

source text being cognitively processed by a translator. Since the processes of cognitively decoding information include the explicating of implicated meaning, this explicated meaning will be explicitly linguistically expressed in the translation text (see also Steiner 2001).

A related stance is taken by Blum-Kulka (1986). She argues that the process of translation necessarily entails "shifts in textual and discursual relationships" (p. 18). The differences between the source text and the translation text will show on the level of cohesion, specifically in the use of cohesive markers. Changes in the use of cohesive markers in the translation text will result in different degrees of explicitness for the source and the translation texts, and also in shifts in the "text meaning(s)" – i.e. the source and the translation text will differ with respect to the meanings which are made explicit and those which are merely implicated.

Sequeiros (2002) approaches the question of explicitness in translation from a relevance theoretical point of view. He comes to the conclusion that what he calls "interlingual pragmatic enrichment in translation" (p. 1069) is carried out for two reasons: First, it may be the inevitable consequence of grammatical incompatibilities between the source and the target languages. Secondly, it may be the consequence of the translator's endeavor to overcome "cultural variation" (p. 1069) between the language communities involved.

The problem with applying these notions of enrichment, shifts in cohesion and explicating implications to the present investigation lies in the fact that the features which are cited as being universal to translations are at the same time the empirically established defining characteristics of the prevalent communicative conventions of German as compared to English. While it is surely the case that cultural differences and differences in the language systems involved in cross-cultural communication through translation may be two factors which invariably influence the linguistic form of the translation text, it seems nevertheless necessary to point out one possible caveat concerning the investigation of explicitness as a translation universal. Baker, Blum-Kulka as well as Sequeiros all measure the degree of explicitness of translations in the context of translation relations including the English language. One might suggest, therefore, that these investigations possibly do not so much observe a universal characteristic of translations, but actually rather the cross-linguistic differences in the role of explicitness in texts between English and the second language involved in each case – a difference which would also exist outside the translation relation. For example, contrastive analyses of translations from English into German and comparable German original text production in several German genres show that both translations and German original texts are characterized by a preference for referential explicitness and for laying out the subject matter in a semantically precise, strongly cohesive and informationally dense manner (Böttger & Probst 2000; Baumgarten 2003, 2003a; House in press a).

Hence, it is difficult to say for a translation from English into German which linguistic phenomena can be ascribed to the translation process and which are determined by prevalent communicative preferences and textual norms in German. For the corpus of film texts and translations investigated in this study, the greater degree of explicitness in the translation is considered to be the expression of language specific communicative conventions in German. First, because *vis-à-vis* comparable English genres, German written and spoken genres have often been described as being characterized by a greater explicitness in the

linguistic expression of information and information structure. Secondly, the translated film texts do not show signs of any of the other translation universals ("normalization", "leveling-out", "simplification", "sanitization", cf. n. 138).

### 10.3 Converging communicative conventions?

In a final step, the findings of the analyses carried out in this investigation have to be related to the overarching research question of this thesis, i.e. the question of converging communicative conventions between English and German. The investigation of film texts and film translations started from the assumption that because of the role of English as a global lingua franca and prestige language German communicative preferences close in on English communicative styles. Translations from English into German as one locus of direct language contact and, arguably, the most prominent interface between the English and German linguistic systems are considered as possible triggers for language variation in certain German text genres. One assumption was that the time constraint which defines translation in film limits the choices of linguistic forms available in German to the extent that the so-called *Analogvariante*<sup>139</sup> of translation is given precedence over a translation felicitous to German communicative conventions because the *Analogvariante* fits best the limited textual space available – as it exactly imitates the syntactic structure of the source text. The second assumption was that film, as a historically developed means of the communication of what in the broadest sense can be called the 'Anglo-American image' to Germany, and a general popular preference for American films would also foster a smooth adaptation of English communicative styles in German translations of American films.<sup>140</sup> The general possibility of such a converging movement on the part of the German language is considered to be facilitated by the German language system: As discussed in section 4.3, the linguistic system of German possesses essentially the same, or at least functionally equivalent means and also a sufficiently flexible word order to be able to imitate most of the linguistic structures of the English source texts.

However, neither the qualitative synchronic nor the qualitative contrastive diachronic analyses of the English film texts and their German translations revealed any conspicuous changes in the use of German linguistic means which could be related to the use of particular linguistic items in the English source texts. Overall, this speaks for the stability of the linguistic expression of German communicative conventions in the genre and across the time frames investigated. The differences which were found between the English source texts and the German translations, namely the stronger cohesion, referential explicitness, semantic precision and a pronounced expression of the speakers' interpersonal orientation can be to a large degree easily aligned with the general picture of German communicative preferences as compared to English ones. Figure 20 below once again presents these in tabular form.

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<sup>139</sup> Cf. Chapter 2 above.

<sup>140</sup> Cf. sections 3.2 and 3.3 above.

<i>ENGLISH</i>		<i>GERMAN</i>
<i>Indirectness</i>	↔	<i>Directness</i>
<i>Orientation towards other</i>	↔	<i>Orientation towards self</i>
<i>Orientation towards persons</i>	↔	<i>Orientation towards content</i>
<i>Implicitness</i>	↔	<i>Explicitness</i>
<i>Use of verbal routines</i>	↔	<i>Ad-hoc-formulation</i>

**Figure 20** Dimensions of communicative preferences between English and German.

The use of cohesive connections within the verbal and across the verbal and the visual semiotic modes, the explicit expression of logico-semantic relations and the preference for denotational precision seem to reproduce the general German preferences for referential "explicitness", "directness" in the presentation of information and "ad-hoc formulation". Thus, the hypothesis of source text-induced language variation in translations would have to be rejected.

This view is supported by a closer inspection of the nature of the majority of the linguistic means which were found to express cohesion and explicitness. The modal particles, modal words, conjunctions, complex deictic elements and determiners belong to the functional categories of German. As such they are central to the German grammatical system (cf. Muysken 2000) and should be comparatively resistant to variation and change in their occurrence patterns.<sup>141</sup> Moreover, the fact that the text-space consuming use of linguistic means for the expression of cohesion and explicitness is pursued despite the restricted textual space available in the films clearly indicates that explicitness, directness and ad-hoc formulation are equally central to German communicative styles.

The odd one out, as it were, is the strongly marked interpersonal orientation in the translations. The translations make the interpersonal involvement of the speaker in the communicative encounter and the speaker's attitude towards the subject matter more explicit than the English source texts. Since generally neither the linguistic structures of the source texts nor the larger level of discourse semantics or the design of the film narratives force or justify the expression of this kind of interpersonal orientation, an extralinguistic reason may be suggested: It may be possible that in the translations the linguistic reproduction of the image of Anglo-American communicative behavior and interactional styles present in the German culture is attempted. Such a motivation might be additionally supported by the presence of visual information in film, because a translation of a film text inevitably always includes in its visual information unalterable source text

<sup>141</sup> As a point of contrast, related diachronic investigations of German translations from English indicate that the frequency of use of these linguistic means in translations can vary considerably over the course of just twenty-five years. For example, the increased use of speaker-hearer deixis, modality markers and certain types of connectives are seen as indicators of changing communicative preferences in German (cf. Baumgarten 2003a, in press).

meaning. The characters in a translated film, thus, speak German, but may be intentionally made to sound 'English' in order to fit the source text's visual meanings which are iconic of the source text's culture. This 'English in German words' would then appear to be characterized by the linguistic expression of affect and interpersonal involvement. On another level, another case in point is the use of English language items (for example address forms) in the German translations and the English pronunciation – or rather its approximation – especially of personal names.

Originally, the idea of English acting as a 'secret agent' on German communicative conventions referred to a possible alignment of the translation texts' sentence patterns with those of their source texts. Even though this assumption had to be rejected, the role of English for the shape of the German translations can nevertheless be captured by this notion. I would want to suggest that the reproduction of English communicative styles by German linguistic means still succinctly describes the idea I intended to capture in the title of this thesis: That is, English does act as a 'secret agent' on German communicative conventions, but instead of making distinct, tangible inroads on the German grammatical system, it impinges on the conventions of use of indigenous linguistic means for the expression of affective and interpersonal involvement.

Admittedly, this interpretation is very simple. However, it seems to be supported by other investigations of the translation relation English-German and a possible influence of the English language on communicative preferences in German. For the genre of popular scientific texts, for example, it was found that over the past 25 years a preference for the explicit encoding of speaker stance has developed. Both German translations and original text production in German feature a notable increase in the use of linguistic means which express speaker-oriented modality and markers of so-called conceptual "spokenness" (Baumgarten 2003a; Baumgarten in press). For the genre of business communication, the time span in which a material change in German communicative preferences towards Anglophone ones occurred appears to be even shorter. In the latter case, the worldwide crash of the 'new economy' in the years 2000/2001 seems to have had an almost immediate effect on the use of linguistic means in both translational and original German letters to shareholders (Böttger 2003; Böttger personal communication).

If the English language indeed has the effects on language use in German as described in this thesis, it would prove that linguistic influence of one language on another does not necessarily mean that the grammatical system of the language under influence must be immediately affected. Following Halliday, Teich (2001) points out that languages are less similar on the more delicate levels of grammar and lexis. Conversely, languages are more alike on less delicate levels. Communicative conventions are bound up with superordinate forms of social behavior and as such clearly to be located on the less delicate levels of the language system. Changes in or converging movements between the communicative conventions and preferences in particular genres and registers of two languages, therefore, appear more likely to happen – and to happen over short periods of time. From this perspective, it seems justified to claim that an influence of communicative styles across languages can very well be realized by indigenous linguistic means of the language under influence. A converging development on the level of the grammatical systems, though theoretically probably no less likely,

is at any rate almost impossible to observe in the short time span investigated here.

Still, variation in language use, triggered by another language is difficult to fathom without actual language contact. Even though, in the case of English and German, the social factor of the peculiar presence of Anglo-American culture in German social life throughout the past sixty years may be covertly, secretly directing German communicative behavior towards the successive adoption of English conventions, translations as the locus of direct language contact must not be neglected as the gateways of the influx of foreign communicative conventions and ultimately grammatical change in the target language. After all, where else are the linguistic systems of English in German in both their formal and functional respects in interaction? And how would we know about the Anglo-American culture at all, if there were no translations of English texts and discourses available? Moreover, it is important to emphasize that in principle all registers and genres, including popular ones and multimodal ones which often have audiences on mass-scale, have to be considered in this respect. Finally, a larger database might reveal more delicate relations between the English source texts' and the translational linguistic structures than could be uncovered in this investigation. One might add, lastly, that a broader diachronic scope might also delineate processes of change more sharply, so that what from the present perspective appears to be hardly stirring can actually be proved to be moving. A case in point, for example, could be the diachronic development of the markers of visual-verbal cohesion, where the change in the frequencies of use is (not yet?) statistically significant.

The role of translations in target language variation can only be fully understood and accounted for if the translations are compared to comparable original text production in the target language, i.e. in this case German films. The next step would have to be to compare the communicative conventions found in the German translations of English film texts to comparable original film texts in German. As discussed in Chapter 7, such a corpus does not exist and is at present difficult, if not impossible, to assemble for the simple reason of what is available on the German film market. Of course, this is in itself an interesting statement on the role of the German language in popular culture. As it stands, the picture of language use in film and film translations which emerged from the present investigation awaits contextualizing evidence from further (socio-)linguistically-oriented enquiries. As a tool for these and other (contrastive) enquiries into language use in visual media, the model for the analysis of language use in film developed in this thesis is offered. The next chapter concludes this thesis with a summary, an assessment of the methodology and some suggestions for further research.



## 11 Conclusion

This chapter provides a summary of the major findings of the study and an assessment of the methodology applied to the investigation of film texts and the influence of the English language on German communicative preferences in film translations from English into German. It concludes with a few suggestions for further research.

### 11.1 Summary

This thesis presented, first, a theory-based attempt to develop a model for the analysis of language use in visual media in order to make film texts accessible to linguistic analysis, and secondly, a corpus-based investigation into language variation through processes of translation carried out on a diachronic corpus of English film texts and their German-dubbed versions.

The study started from the assumption that the role of the English language as a global lingua franca and prestige language, and the concurrent status of the Anglo-American culture as arbiter of mass-medial popular culture influences German communicative preferences such that German written texts and spoken discourse will display on their linguistic surface an imitation of English communicative conventions. Because translations from English into German are the most prominent interface between the German and English linguistic systems, it was assumed that an influence of English on German communicative conventions would be most marked in translations. It was further assumed that given a sufficient frequency of occurrence and widespread reception such an influence of English communicative conventions on the preferences of linguistic expression in German translations might eventually be carried over into original text production in German – a development which would leave the translation as the trigger for (register- and genre-specific) target language variation and possibly subsequent target language change.

Since it appeared unlikely that all kinds of translations would have sufficient spread and popular recognition to set off such a development in the first place, the investigation focused on the German-dubbed versions (i.e. translations) of American popular mainstream movie productions. Besides film being a mass medium, two other characteristics of film texts seemed to provide favorable preconditions for the imitation of English surface structures in the German translations: First, the unique textual constitution of a film text, i.e. the time constraint governing the co-occurrence of visual and verbal information, forces the German translational utterance to fit almost exactly the temporal interval of the original English utterance. Under these conditions, it was assumed, there would be restricted textual 'maneuver space' to add to, reorder or leave out parts of the information structure of the utterance in order to adapt the translation to German communicative norms (Chapter 2). Secondly, an influence of English communicative conventions on German ones appeared more likely to be evident in film translations than in other types of translation for historical reasons: The practice (in the sense of a routinized and standardized commercial business) of English-German film translations has been firmly established in Germany since the 1930s, German-dubbed American films have been dominating the German film market at least since the 1940s, and German-dubbed American films are

generally understood to have played a prominent role in the 20<sup>th</sup> century bilateral socio-political history of Germany and the USA, since they were considered 'a window to the modern Western world' for the German audience (Chapter 3). This peculiar, culture-specific historical situation supported the assumption that a combination of routine and purpose on the part of the translation text producers and the institutions of which they are part might have led to a certain leniency towards the linguistic expression of Anglophone communicative styles in the German translations.

As for the study of language use in visual media in general, it is prerequisite for the investigation of film texts (and their translations) to take into consideration the features which distinguish this text type from other kinds of language use, because the special characteristics of a text type are likely to bear upon its patterns of meaning construction and its ways of meaning communication. The defining characteristics of film are its multimodality (i.e. the combination of visual and verbal information in the construction of meaning) and the two levels of communication (diegetic (text-internal), extradiegetic (text-transcending)) on which meaning is constructed. Because no linguistic analysis of film texts and film translations ever included these defining characteristics in a systematic way, a new model of analysis was developed (Chapter 6). This model for the qualitative analysis of language use in film facilitates the qualitative, form-and-function-in-context-oriented analysis of speech, writing and other occurrences of language in film. It is based on House's (1977/1997) model of translation quality assessment, and – for the first time – the systematic integration of theories and methodologies from linguistics, visual analysis and film theory under the overarching frame work of systemic-functional theory. The model allows systematic analytical access to communication in and via film. It includes a modeling of the interdependency of visual and verbal meaning (visual-verbal cohesion), which makes the constitutive multimodality of film texts accessible to linguistic analysis (Chapter 9).

The process of analysis was presented in an exemplary in-depth analysis of one face-to-face discourse in a film (Chapter 8). The analysis was intended as both a practical demonstration of the analytical procedure and an illustration of the analytical delicacy possible.

The investigation was carried out on a diachronic (1962 – 1999) corpus of English film texts and their German-dubbed versions. The analysis proceeded in two steps (Chapter 7). First, qualitative, synchronic analyses of all the texts comprising the corpus were carried out. In a second step, those features whose frequency of use and context of occurrence appeared to be changing over the years – i.e. the linguistic expression of visual-verbal cohesion – were once again considered from a diachronic contrastive perspective. In summary, the qualitative analyses of the corpus of film texts and translations yielded the following results (sections 8.2 and 9.2):

- English film texts and their German translations consistently differ in the linguistic expression of modality, cohesion and explicitness. Throughout the years, the German translations always use more lexicogrammatical items to lexicalize 1. the subjective attitudes of the speaker towards the proposition and the communicative task he/she is involved in; 2. the logico-semantic relations between propositions which, as a consequence, are more tightly braced by

cause and effect relations and relations of chronological progression. 3. The expression of modality and cohesion is facilitated by a greater degree of referential explicitness and denotative precision.

- For the case of the linguistic expression of visual and verbal cohesion, it was found that while the older translations very often feature explicit verbal cohesive links with accompanying visual information, the more recent translations display less explicit reference to co-occurring visual information. Even though the translations still use more linguistically explicit reference to visual information than their English source texts, the decrease in the frequency of use suggests a trend towards a converging movement on the part of the German translations in the direction of the conventions of verbal reference to visual information found in the English texts.

With respect to an influence of the English source texts on the German translations and the question of a concomitant shift in German communicative preferences towards English ones, these results have been interpreted as follows (section 10.3):

- English source text-induced language variation in German translation texts is not evident as an English influence on the linguistic system of German such that the translated discourses show the same patterns of information structure or word order as their respective source texts, thereby violating German conventions of information structuring. On the whole, the analyses have shown that the German translations display an adherence to typically German communicative conventions in regards to a preference for, for example, referential explicitness, interactional directness and situation-dependent, ad-hoc formulations, which are also evident in a variety of other spoken and written genres in German.
- However, consistently throughout the time frame investigated, the German translations show a more frequent and more explicit linguistic expression of the speaker's stance and the speaker's interpersonal involvement in the communicative encounter, which is untypical of German language use and the resultant communicative styles in most of the genres investigated in this respect so far. This comparatively pronounced interpersonal orientation of the German-dubbed discourses cannot be traced back to the presence of particular linguistic structures in the English source texts. The presence of linguistic markers of an interpersonal communicative orientation in the German translations is, thus, understood as an indication of an influence of English communicative conventions on German ones. This English influence materializes itself on the surface of the translated discourses in a use of indigenous German linguistic means which does not coincide with the one predicted for German by the dimensions of communicative differences between English and German (cf. section 4.3).
- Consequently, it was suggested that the idea of source text-induced language variation in translation texts may have to be broadened to include a notion of

'source-culture-induced language variation', as elusive as this notion at present must remain (cf. section 10.3 above and 11.3 below). According to this idea, translations would be shaped by the presence of images and stereotypes of the source text's culture in the receiving culture and/or by the unalterable visual meanings of a film text which are iconic of the source text's culture – even in the translation. The presence of these source-cultural meanings would induce their linguistic expression in the translations and trigger the use of particular German linguistic means in order to create in the German translations the kind of interpersonal orientation which is, comparing German and English, primarily associated with English communicative styles.

## 11.2 Assessment of the methodology

In the present thesis, a model for the investigation of language use in film was proposed. It was applied to the contrastive analysis of a corpus of English film texts and their German translations. For the corpus analysis, a combined qualitative synchronic and diachronic contrastive approach was chosen.

Even though film translations from English into German have been ubiquitous in Germany for at least the past fifty-five years, no systematic analysis of the language used in these films was ever undertaken. This is despite the fact that the presence of American film productions in Germany both in cinema and on TV has been repeatedly ascribed with various socio-cultural and socio-political effects on the German audiences, including an influence on the ways the audience talks (cf. sections 2.4, 3.2, 3.3). One goal of this study was to fill this analytical and methodological gap.

The model of analysis developed and the analytical approach chosen are characterized by three main features: The model is theory-based and language-independent; the method of analysis is corpus-based. I will briefly discuss these in turn. The model is based on systemic-functional theory, which means that the analysis of linguistic forms is geared towards their function in context. The analysis aims at uncovering the communicative effects of linguistic choice. In other words, the description of the use of linguistic means in films is intended to offer an explanation of their meaning in the communicative context of their occurrence. In order to capture the communicative context in analysis and to be able to categorize individual linguistic means as fulfilling particular functions in it, the model features an array of analytical and descriptive categories. These categories were adapted from function-oriented linguistic theories, systemic-functional approaches to visual analysis and film theory, all of which share a function-oriented view of meaning construction and communication. At the bases of the analytical and descriptive categories thus lie comparable theoretical perspectives. It is in this sense that the categories of the model are conceived of as being objective and unbiased, and at the same time customized for the sign systems (language, visual structures, film) involved.

The model offers analytical access to the multifunctionality of linguistic elements in communication in relation to the multimodality of film texts and the different levels of communication involved in film. Analysis along the categories of the model facilitates the decomposition of a film into its constituent meaningful parts and fosters the systematic understanding of the interdependencies between

visual information, verbal information and the addressees involved in the communication via films. Hence, in contrastive analysis for example, rather than being faced with certain degrees of differences in the use of linguistic means across texts and languages, the linguistic variation can be explained as variation under particular, specifiable contextual conditions.

The model is conceived of as being language-independent. According to systemic-functional theory, all types of communication always display the same communicative functions (referential/ideational, expressive-appellative/interpersonal, textual). It is only their linguistic realization which differs across languages and cultures. Likewise, all communicative situations are understood as being shaped by the situational parameters of "field", "tenor and "mode" (section 5.1.1). This conception of communication can be expanded to encompass visual communication and film (sections 5.1.2, 5.1.3 and 5.2). Therefore, in principle, it should be possible to apply the analytical model to all languages and by extension all cultures.

The final remark in this context concerns the question of recurrence in analysis. The central tenet the modeling of language use in film presented here relies on is the multifunctionality of linguistic elements in general (cf. section 5.1) and in film in particular (cf. section 6.2). This multifunctionality naturally must find expression in the categories of the model and the process of analysis. Thus, what might appear as a striking recurrence of one particular linguistic means in different categories and different steps of the analytical procedure is, in fact, only indicative of the multiple functions a given linguistic element with a specific inherent meaning acquires in the co-text of other meaningful visual and verbal elements, and in the context of culture-specific patterns of communicative interaction.

In summary, the model is an attempt at a comprehensive representation of the communicative situation in film for the purposes of linguistic analysis. The principal aim of the analysis is to make transparent and to be able to assess the function of linguistic forms in filmic (visual) communication. The single categories of the model are thought of as being open to further subdifferentiation. As such the model is not fixed, but only provides those parameters which are assumed to be central to and indispensable for the analysis of language use in film.

The analytical approach chosen for the investigation is corpus-based. The term corpus-based analysis usually evokes the idea of the automatic analysis of large corpora, however, this is not what is referred to in this study. The design of the model of analysis obviously envisions primarily its application in the qualitative in-depth analysis of single text exemplars. Yet it is equally obvious that a classical case study approach to language use in a given genre or register can always only describe the form and function of linguistic elements in the texts actually analyzed – no matter how 'representative' the text exemplars might be of a particular genre or register. Reconsidering the exemplary analysis presented in Chapter 8, many of the features which eventually turned out to be consistent patterns in the German translations are already discernible. However, the fact that these appear systematically throughout more than two hundred discourses, spanning thirty years, lends validity to what might equally well have been isolated occurrences of less prominent characteristics. The approach chosen for the investigation was to compile a corpus containing as many texts as possibly

manageable by qualitative in-depth analysis. In addition, the corpus had to fulfill a set of objective criteria concerning its diachronic scope and homogeneity in terms of the discourse types included, and the even distribution of the texts across the years. Besides being predetermined by these parameters, another factor which externally influenced the corpus design was the overall number of films available which complied with the corpus criteria (cf. Chapter 7).

The corpus is diachronic in order to be able to assess language variation over time. Each text, however, is considered from a synchronic perspective. After the synchronic analyses, the comparison of the single synchronic textual profiles brings to the foreground those linguistic phenomena which seem to undergo variation. As a means of validation, datasets from the far ends of the diachronic scope of the corpus are isolated on which diachronic contrastive analyses of the linguistic means which appear to be changing are carried out. Through this contrasting process, any differences in their frequency and context of use – the indicators of linguistic variation – will appear more distinctly delineated.

Even though this study is based on qualitative case studies of a whole corpus of film texts and their translations which can be considered as typical of the film series from which it was compiled, it is only justified to say that the results may be typical of English-German film translations. There is still the possibility that the results are only typical of the corpus. The findings of the present investigation have to be contextualized by further research, some of which will be described below.

A serious restriction to the approach adopted here is that it is as yet not possible to carry out validating quantitative analyses of the linguistic phenomena undergoing change, which go beyond the manual counting of occurrences. The prerequisite for quantitative analysis is the transfer of the transcripts of the discourses into a data format which is readable by concordancing software without 'losing' neither the typical characteristics of spoken discourse such as overlapping speech, nor the annotation of the paralinguistic, non-verbal and visual information and, most importantly, without disconnecting the translational discourse from its source text utterances. At present this is not possible.<sup>142</sup>

### 11.3 Suggestions for further research

The findings of the present investigation need to be complemented, contextualized and validated by further studies of language use in visual media and related areas of linguistic enquiry. The findings of this study suggest further research addressing the following issues: First, as was pointed out in section 10.3 above, the results of the analyses have to be related to the analysis of a corpus of comparable original German film texts in order to establish whether the characteristics of German translational film discourse are due to the process of translation, or whether the translational discourse possibly reflects the conventions of German original text production. Secondly, a bigger corpus – in both diachronic scope and size – might uncover further linguistic phenomena which undergo change with respect to their frequency of use and the communicative

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<sup>142</sup> Electronic tools for the quantitative analysis of spoken data which might eventually be useful in this respect are at present developed within the Research Center on Multilingualism at the University of Hamburg ([www.exmaralda.org](http://www.exmaralda.org)).

context of their occurrence. The change observed for the linguistic expression of visual-verbal cohesion, for example, might turn out to be more marked (and eventually statistically significant) if the time frame of the investigation were extended to the invention of the sound film in the late 1920s. Thirdly, it is necessary to ensure whether or not the results of the present investigation are specific of the language pair English-German, the translation direction from English into German, the historical-cultural context of the bilateral relations between Germany on the one hand, and the USA and the UK on the other, or whether they are specific of the effect of 'global' English on a 'local' language in situations of language contact. In other words, it needs to be clarified whether in the case of film translation, the source text's language and culture inevitably leave an imprint on the linguistic surface of the translation text, or whether this is due to the specific extralinguistic conditions between the languages and cultures. It is likewise essential to find out whether the fact that film involves an unalterable visual representation of the source text's culture indeed might be responsible for source text-induced effects on the language use in the translations. If the latter were the case, this would offer an unusual perspective on visual information as a trigger for target language variation. Hence, other language pairs, both including and not including English need to be studied, as well as different translation directions. Of particular interest would also be the investigation of (the few) films translated into English.

Turning from the immediate context of the present investigation to more general issues, the language use in fictional film needs to be compared qualitatively with the language use in other filmic and TV genres. In addition, language use in film needs to be related more systematically to naturally occurring spoken discourse. I will briefly sketch these topics: The objective of comparing language use in film with language use in, for example, documentaries or the lately extensively investigated talk shows would be to assess whether and in what respect language use in fictional film actually differs from language use in other genres of visual media. Indirectly, this touches upon the question of why linguistics for the most part has avoided considering language use when it happened to be fictional language use – be it in literature or in visual media.

On the whole, the non-fictional genres on TV are more frequently investigated (cf. e.g. Biere & Hoberg 1996; Burger 1990). However, it needs to be pointed out that in visual media the line between fiction and non-fiction, or rather, constructed and naturally occurring speech is particularly difficult to draw, since even documentaries and live discussions, despite their apparent communicative spontaneity, are to considerable extents prescribed and performed by the participants according to the script (cf. Burger 1991). Almost all TV productions are edited before being broadcasted in order to enhance their dramatic structure. Furthermore those taking part in discussion panels are likely to have memorized most of the arguments they want to make so that their discourse follows to a certain extent a pre-formulated mentally stored script. Similarly, those who are interviewed in documentaries may have been asked to 'say that again when the camera is on'. Of course, this is not to say that all language use in visual media is fabricated and prescribed. Yet, like the analysis of language use in fictional film, the analysis of apparently spontaneous speech in other genres of visual media has to take into account the prestructuredness of the conversation and the performance character of the communicative event which is part of the make-up of many non-

fictional TV genres. Just like in fictional films, but unlike the situation in naturally occurring spoken discourse, all forms of language use in visual media are ultimately addressed at the extramedial audience, and this fact is likely to bear upon the patterns of linguistic expression of the speakers onscreen.

The relation between language use in films and naturally occurring spoken discourse needs to be analyzed more closely. If language use in film actually is something like the real-life one-to-one representation of an internalized scheme for the production of conversation – vaguely comparable to Vygotsky's "inner language" (1962) – as for example Tannen & Lakoff (1994) seem to suggest – this may be, for instance, related to the problems in speech and text comprehension and production lately witnessed in German children and adolescents. The hypothesis would be that those in whose socialization and language acquisition processes watching TV and the consumption of other visual media plays a significant role, have a primary input of the 'inner language'-type of linguistic expression and conversational interaction – stripped to a large extent of so-called performance phenomena which are responsible for the high grammatical intricacy (Halliday & Hasan 1989) of naturally occurring spoken discourse and the high lexical density and grammatical integration typical of written texts.<sup>143</sup> Exposed to these reduced patterns of communication, the learners might fail to acquire, as it were, the competence of performance in a way sufficient to produce and comprehend certain types of natural spoken discourse and written texts. A study of this kind could illuminate whether there actually is an interrelation between the consumption of TV programs, the acquisition of language and linguistic competence, and a limited ability of both spoken and written speech comprehension and production.

Finally, the model presented in this thesis needs to be tested in the analysis of more and different filmic and TV genres. That is, it is necessary to find out whether the model is also applicable to the decoding and the explanation of the linguistic realization of communicative constellations and its meaning on the diegetic and extradiegetic levels of communication in genres other than fictional films. It is in this sense that the "towards" in the title of this thesis is to be understood.

To conclude, the aim of this thesis was to draw attention to one form of language use in visual media which is ubiquitous, but rarely investigated from a linguistic point of view, and to provide some empirical evidence and a mode of gaining empirical evidence for whether films translated from English into German show on their linguistic surface an influence of their English source texts. On the whole, it appears that language use in visual media and the extent to which it is meaningfully shaped by the unique conditions of the medium is as yet too little understood. Yet, to end on a general and social-constructionist note, film and TV as the platforms for the distribution of the products of a culture are, as appears from their popular success, far too central to people's daily life and by extension the 'ways they make sense of their lives' (Geertz 1983) not to be inspected closely and systematically – from a linguistic perspective.

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<sup>143</sup> Cf. also Lightfoot's idea of changes in the E-language changing the I-language of the subsequent generation of speakers which, in turn, changes the E-language of the language community (Lightfoot 2004).



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## Appendix

The corpus of English and German film discourse:

<b>PRODUCTION DATE</b>	<b>TITLE</b>	<b>GERMAN TITLE</b>	<b>NUMBER OF TRANSCRIPTS</b>
1962	<i>Dr No</i>	<i>James Bond – 007 jagt Dr. No</i>	9
1963	<i>From Russia with Love</i>	<i>Liebesgrüße aus Moskau</i>	9
1964	<i>Goldfinger</i>	<i>Goldfinger</i>	10
1965	<i>Thunderball</i>	<i>Feuerball</i>	13
1967	<i>You Only Live Twice</i>	<i>Man lebt nur zweimal</i>	8
1969	<i>On Her Majesty's Secret Service</i>	<i>Im Geheimdienst Ihrer Majestät</i>	13
1971	<i>Diamonds are Forever</i>	<i>Diamantenfieber</i>	9
1973	<i>Live and Let Die</i>	<i>Leben und sterben lassen</i>	7
1974	<i>The Man with the Golden Gun</i>	<i>Der Mann mit dem goldenen Colt</i>	10
1977	<i>The Spy Who Loved Me</i>	<i>Der Spion, der mich liebte</i>	15
1979	<i>Moonraker</i>	<i>Moonraker – Streng geheim</i>	11
1981	<i>A View to a Kill</i>	<i>Im Angesicht des Todes</i>	13
1981	<i>For Your Eyes Only</i>	<i>In tödlicher Mission</i>	10
1983	<i>Never Say Never Again</i>	<i>Sag niemals nie</i>	15
1987	<i>The Living Daylights</i>	<i>Der Hauch des Todes</i>	17
1989	<i>License to Kill</i>	<i>Lizenz zum Töten</i>	11
1995	<i>Goldeneye</i>	<i>GoldenEye</i>	14
1997	<i>Tomorrow Never Dies</i>	<i>Der Morgen stirbt nie</i>	13
1999	<i>The World is Not Enough</i>	<i>Die Welt ist nicht genug</i>	13

"Hierdurch versichere ich an Eides Statt, dass ich die Arbeit selbstständig angefertigt, andere als die von mir angegebenen Quellen und Hilfsmittel nicht benutzt und die den Werken wörtlich oder inhaltlich entnommenen Stellen als solche kenntlich gemacht habe."

NB