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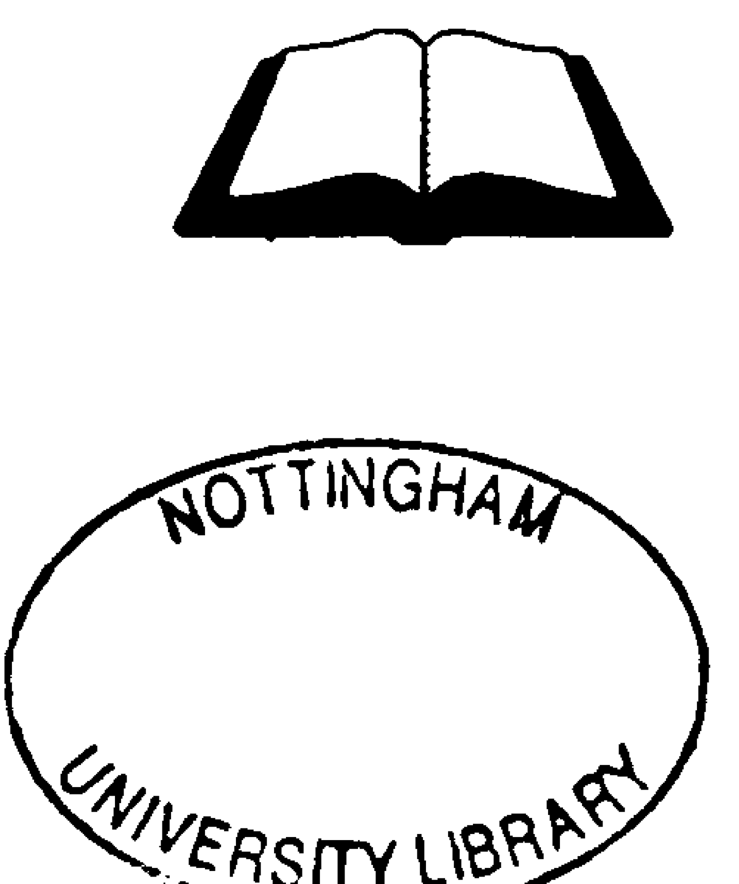
Structure of Meaning (SOM):
Towards a Three-Dimensional Perspective on Translating Between Chinese and English

by Chunshen Zhu, MA

Thesis submitted to the University of Nottingham
for the degree of Doctor of Philosophy, May, 1993



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Abstract

The introductory first chapter begins with a brief survey of translation in the pre-linguistics period. It holds that comparativeness and comparison should be the foundation of translation studies. The model of Structure of Meaning (SOM) is thus created by incorporating and extending the two three-dimensional models provided by systemic-functional grammar and speech act theory. It consists of three dimensions of linguistic composition, interactional dynamic and aesthetic impact, for the analysis of the SL text, for the creation of the TL text in translation, and for the comparison of the two in translation studies.

In linguistic composition, the word-order is observed in terms of A(gent)-V(erb)-O(bject) sequence and its variations, elaborated by modification in text formation. The functions of linguistic elements are classified as syntactic bearer, information carrier and stylistic marker for analysis. The issue of Unit of Translation is also addressed.

Information distribution is analyzed for the interactional dynamic of the SOM in terms of implicit versus explicit presentation of information and how this is dealt with in translating on the basis of thematic structure.

Aesthetic impact combines form, function and effect to give a SOM its individuality. This is discussed via the translation of figurative language, and syntactic iconicity and enactment. Attention is also devoted to the relations between Shape, Sound and Sense in translation.

The model of SOM, in conclusion, identifies Stance and Style within the conventional meaning of 'style', and proposes the practice of stylistic translating in the creation a TL SOM which matches the SL SOM in the three dimensions.

Dedication

To the memory of my grandmother.

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I would like to express my warmest thanks to a number of people who have helped make my period of study at Nottingham an unforgettable experience.

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Some Conventions Used in Examples

1. ('x'): x is a translation intended for linguistic comparison, how close it is kept to the linguistic features of the original depends on the purpose of the comparison.

2. ('x:y'): x and y are componential lexical meanings of the word they stand for in the Chinese original. The use of such componential listing depends on the purpose and needs of the exemplification.

3. [x]: x is the co-text of the example, which is not included in the study.

4. #: a Chinese text marked as such at the beginning is supplied with a graphic version.

5. Numbering:
   a. In example number [x.y], x is the number of the chapter; y is the sequential number of the example in that chapter.
   b. An example number marked with 'tr' means the text is a translation, eg, [3.3 tr] is the translation of [3.3].
   c. An example number containing a roman number means the text is an altered version for comparison, eg, [3.11 ii] is the second altered version of [3.11], and [3.22 tr.i] is the first altered version of [3.22 tr].

Chapter I

Introduction:

Structure of Meaning (SOM) - A Three Dimensional Model Of Translation and Translating

1.1 TRANSLATION IN THE PRE-LINGUISTICS PERIOD

The moment human beings found themselves doomed with the gift for possessing more than one language, what would be later called translation was born. Since then, millennia have passed with translations undertaken but underestimated, teased while taught; translators besought then belittled, complimented yet condescended to. Yet in translation as an academic pursuit, there have been too many normative, laconic and frequently contradictory claims from empirical speculation and too few well organized attempts at theory. The fullness of the discipline, as flexible as language itself, as dynamic as culture and as multifarious as its social contexts, seems yet to be achieved.

Despite such an unpromising situation, both in the East and the West, the fact remains that, as Bates (1943:7) puts it, 'Nothing moves without translation'; and translation has never faded from the foreground of the development of human culture. Religions were once a principal vehicle of philosophical, political and social messages; and translations of sacred scripts have left their imprint in the genetic makeup of the receiving societies. In the West a most prominent example is the influence of the English Bible. Chinese translation enterprises in the late 19th century and the early 20th century had revealed the

impotence and limitations of the refined and fossilized classical written Chinese, and called for a radical switch to the lively and dynamic vernacular in order to accommodate modern ideas and 'foreign' styles. Thus translation in China, apart from ushering in new thinking, triggered off a revolution in the development of the modern Chinese language and gave shape to the modern styles of fiction and poetry in Chinese literature in the early 20th century. The moral of the story of modern Chinese is that a language which wishes to remain serviceable and in keeping with the times should be organic and augmentable, always responsive to new demands, as should a mature and confident culture.

With translation undertaken in astonishing quantity and variety, the lack of theoretical frameworks gradually came to be noticed as an impediment to its improvement in quality. In Europe, the Middle Ages and the early Renaissance had gone by without an adequate theory of translation; only after centuries of practice, with 'the growing dignity' of translation, 'the Augustan fondness for literary criticism' and 'a large body of comment on methods of translation' (Amos 1920:137), did the last decade of the 18th century see the publication of Tytler's *Essay on the Principles of Translation*, the first treatise on translation theory. In China, it was as late as 1897 that a British educated translator, Yan Fu, put forward a tripartite guideline for his translation of T. H. Huxley's *Evolution and Ethics and Other Essays*, namely, faithfulness ('xin'), accessibility ('da'), and elegance ('ya'). As a prefatory comment on his own translation, or rather, on the odds he had been up against, it says more about what a translation *should be* than about how one might produce such a translation. And, like most marginal notes in traditional Chinese literary scholarship, Yan Fu's faithfulness-accessibility-elegance

maxim, edictal though it may sound, was too skeletal and intuitive to obviate the ensuing controversy, which has unfortunately generated more heat than light, and been unnecessarily prolonged among those exegetically minded rather than theoretically oriented Chinese translation scholars. In Chinese translation the want of theory in any true sense can be illustrated by Ma's *Zhongguo Fanyi Jianshi* (A Concise History of Translation in China) (1984): what the book has managed to collect are more historical facts than theoretical contemplations. Researchers like Luo Xinzhang, who had set out to unearth a system of theories specific to the practice of Chinese translation in history but came back with just a conspectus of empirically normative remarks, have had to admit that a book of systematic translation theory has yet to be written (Luo 1983/84:601).

In general, translation in the pre-linguistics period was 'in its infancy', most of it was 'subject to taste and temperament rather than to knowledge' (Bates 1943:15), and, 'in relation to the volume of translation, little was written about it' (Newmark 1981:4). To make matters worse, translations as a branch of literary production 'have by and large been ignored as bastard brats beneath the recognition (let alone concern) of truly serious literary scholars' (Holmes 1988:81). As a means of foreign language acquisition, translating and translation criticism were first praised as 'a particularly fascinating and instructive method of language study' (Ogden and Richards 1923/56:230) and later discarded, lock stock and barrel, as the 'almost universally condemned "Grammar-Translation Method"' (Catford 1965:viii, but see Newmark 1991, ch.4, for an analysis of the relation between translation and language teaching).

One result of such prejudice against translation has turned out to be that the mainstream of literary scholarship, which has to do with evaluation and interpretation, and that of linguistic studies, whether in relation to authorial technique or not, as exemplified in stylistics, discourse analysis and speech act theory, are confined largely to monolingual topics. Although reasonable attention has been paid to cross-language/cultural problems in comparative discourse analysis and contrastive linguistics, and there is even a suggestion of the potential benefit of the approaching discourse through [limited] translation in the EFL classroom (see eg McCarthy 1991a:130, 164-5), investigation of the validity, acceptability and applicability of the results of literary and linguistic studies in the sphere of translation remains a nascent enterprise (eg Hatim and Mason 1990; Bell 1991). While on the other hand, translation theorists are left alone in their academic cul-de-sacs (for a general account of the situation, see Bell op. cit.:xv, 4-5, 21 and 33 (note 7)), or plodding still hopelessly through that notorious argument between literal and free translations.

But the study of translation has received a new lease of life since becoming an established element on courses for training professional translators, as opposed to the centuries-old practice of translation as a technique in foreign language teaching and testing. The subject of translation studies is further elevated to an independent academic pursuit when it broadens its scope beyond the confinement of 'literary translation', putting itself in a more extensive literary and linguistic environment, striving for better insights into its own workings, rather than surrendering its identity in subservience to other disciplines.

1.2 COMPARATIVENESS AND COMPARABILITY: A POINT OF DEPARTURE

Translation, in general, is conducted from one language into another; but more significantly for our purpose, it is, in particular, an effort to generate a new text in the target language (TL) from one already existing in the source language (SL) -- that is, it is more between *texts* than between languages. Although some critics, as Holmes (1988:10) observes, have abandoned 'the measuring stick of the original', one cannot gainsay that, in general, a translation is held accountable more for the world in the original (ie, the real world filtered through or even twisted by the grids of the author's mind and the language used) rather than the general truth of the real world itself. Translation studies is therefore comparative in nature. But though a TL text may in its own right possess a structure distinct from that of the original, it must be comparable to the SL text, albeit that the degree of comparability may vary from genre to genre.

But how to make a comparison between the SL and the TL texts? What factors are to be taken into account in such a comparative study of the texts in question? I.A. Richards (1953) first drew our attention to the 'comparing activity' illustrated by the 'simplest' room/box comparison in length, breadth and height, with a suggestion of seven dimensions or functions to consider in linguistic comprehension. This version, already increased from his previous one of six dimensions, was later extended to eight (Russo 1989:137). Another case, on a different basis but equally instructive, can be found in Coulthard's (1985:24-25) more recent observation of the increase in categories in the attempt at

classification of illocutionary acts: from Searle's five macro-classes to Leech's six and Stiles' eight categories.

The numbers do nothing magical and should not be our present interest, of course. But these cases do reveal the fact that classification can grow almost indefinitely in delicacy in line with the increasing sophistication of one's theory or of the studies in a specific field. Also they carry a warning: in every single use of a language there can be as many aspects to consider as one may wish. But in translation studies we certainly do not wish to start with comparison and end up in mere classifying. Comparison is of primary importance in translation studies but should be kept at the most fundamental level relevant to the general purpose of translating activity. It is in this connection that we find that three-tier descriptions of language and language use in modern linguistics offer a useful framework for comparison between the SL and the TL texts. The coincidence of the number alerts us only to the fact that a language, in its textual realization, can be fruitfully explored on the whole as a structure of just three dimensions, for each may contain further 'facets' observable in the text. A comparison of two structures as such (in its simplest and most straightforward manner) is thus a cubic one similar to that of solid space. This understanding puts translation comparison on a more definite as well as comprehensive basis while offering adequate flexibility to meet diverse demands in particular cases. The present research is concerned with the establishment of a cubic model, which will be referred to as STRUCTURE OF MEANING (SOM), and with the investigation into its applicability offered as a guide (but not a rule) for the practical purposes of textual comparison in translation between English and Chinese.

1.3 SYSTEMIC-FUNCTIONAL THEORY AND SPEECH ACT THEORY: THEIR APPLICABILITY IN TRANSLATION STUDIES

Before we can begin contemplating the three-dimensional SOM in the SL text and in the TL text as the result of translation, it is necessary to consider some three-tier models in a general linguistic framework, which may not have been developed for direct use in translation studies but certainly will cast some light on the subject.

1.3.1 Systemic-functional theory and translation

Halliday (1973, 1978, 1985) identifies in his systemic-functional theory the tri-stratal nature of linguistic systems, which consists of three principal systems roughly glossed as follows:

Semantic system (meaning),
Lexicogrammatical system (wording),
Phonological/graphological system (substance).

Halliday further specifies three components of the semantic system:

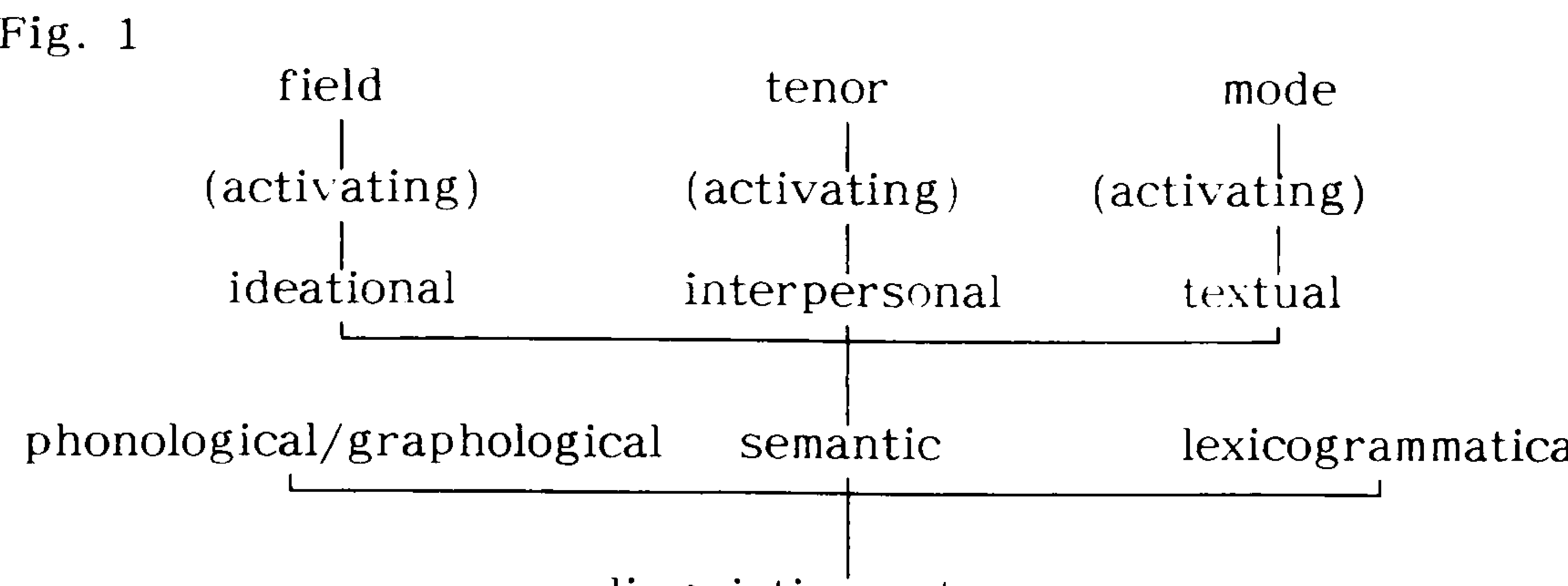
Ideational (experiential and logical): the content or meaning that embodies the language user's experience of the world and his/her relation with that world as he/she perceives it, and transitivity that carries the logical mechanism of meaning which may be different from the surface-structures of traditional grammar;

Interpersonal: the mood, modality, person and intonational components of the syntactic form, which express the language user's attitudes and realize his/her position and role in the communication with other users, it is 'both interactional and personal' (Halliday 1973:107);

Textual: which performs the enabling function of text formation or creation, relating the text to the context (the situation and the preceding text) as well as giving it an independent and unique 'textuality'.

This functional perspective serves to explain the nature of language. In Halliday's (1978:48) words: 'language is in fact structured along these three dimensions'. Together with the situational determinants which have to do with subject matter, participants and language performance, ie, field, tenor and mode, the most basic features of this model can be put in a diagram as Fig. 1 below. In this diagram, one may notice that the relation between the three strata within the linguistic system is not as fully accounted for as the relation between the three components of the semantic system. And Halliday has rightly pointed out that the textual component, as an 'enabling function', is distinct from the other two (ie ideational and interpersonal), since 'language can effectively express ideational and interpersonal meanings only because it can create text' (Halliday 1978:130).

Fig. 1



Thus so far as written text is concerned, the lexicogrammatical stratum appears as much distinct from the other two within the linguistic system as the textual within the semantic, because it is the lexicogrammatical that provides the primary material means ('wording') for the textual function of the semantic system to create text. As Halliday observes: 'It is the function of the lexicogrammatical stratum ... to form a single integrated structure that represents all components simultaneously' (Halliday 1978:128). The secondary means is the phonological/graphological stratum, and its significance in the written forms of a language is by no means negligible, a point to which we will refer time and again in the present study.

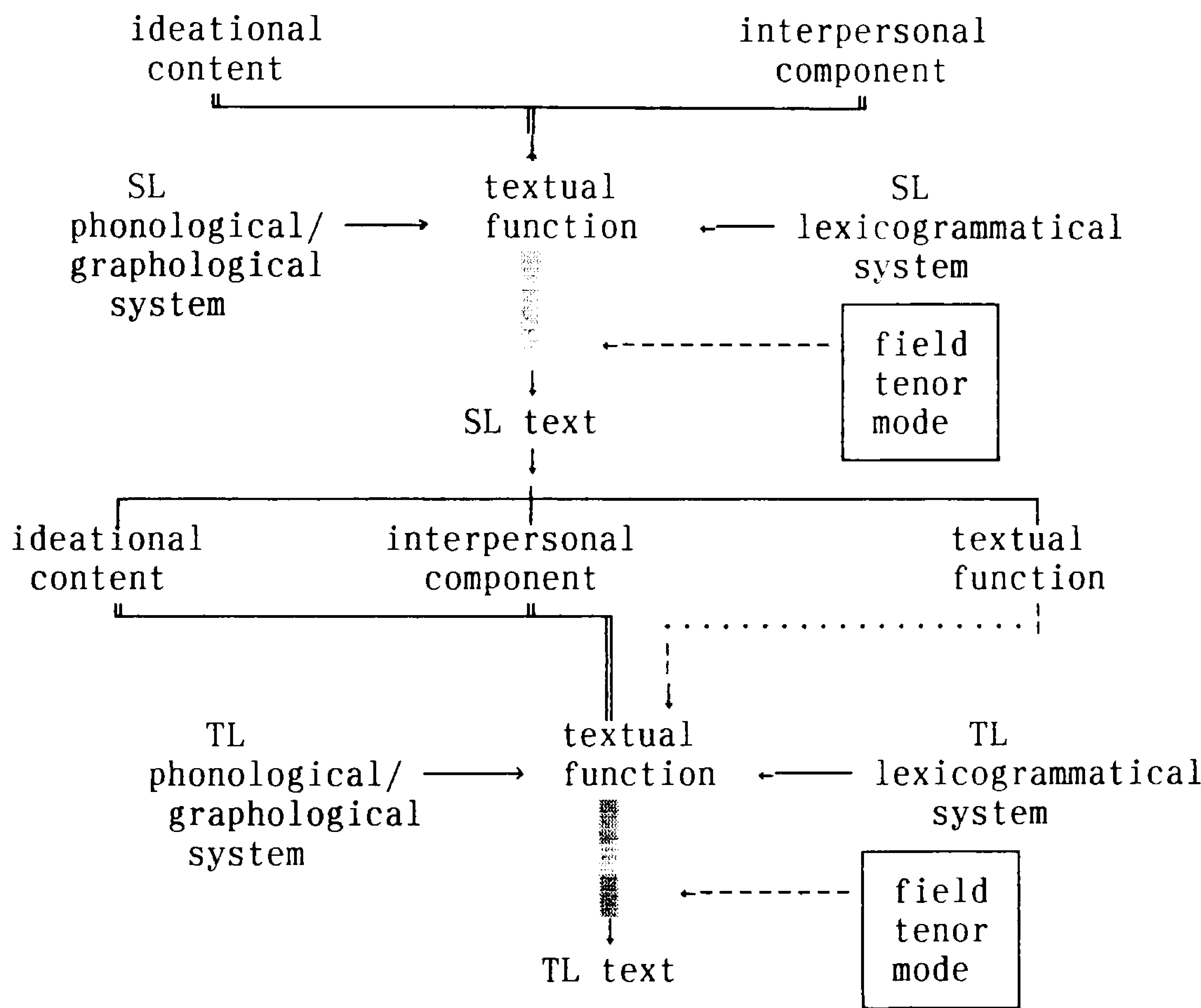
The creation of text can be inspired primarily for a transactional purpose of conveying ideational information about the world, or can be occasioned by an interactional need to establish and maintain certain interpersonal (social) relationships. And as McCarthy (1991:136-7) has argued, no matter which of the two elements (transactional or interactional) is emphasized in a typical stretch of communication, it is usually complemented by the other so as to perform a normal social function, a point which seems to be adequately borne out by natural data. In interpreting a text for translation, therefore, we have to observe all these systems simultaneously, because the text as the

product of a text-creating process represents all of them at the same time. But when tracing the process of translating itself, we may find that such a decision-making process appears to be more successive and transactional in nature. In other words, activated (inspired or called upon) by the field (eg the value of the SL text appreciated or deemed marketable in the TL social environment), one has something to translate (the ideational content); and more or less simultaneously determined by the tenor, one starts to anticipate the target audience, which may be different socially from that of the SL text (the interpersonal consideration). *Then*, with rhetorical modes made available by the lexicogrammatical and phonological/graphological systems of the target language, one sets to and creates a relevant text (exercising the textual function). One fact, significant in writing and translating alike, is to be noted though, that at the stage of text creation one is still governed, through the constraints of register, jointly by the situational factors of field, tenor and mode. That is why the meaning finally produced in the text, an actualization of the meaning potential of the language's semantic system, may still be somewhat different from the original ideational and interpersonal meanings that have triggered off the process.

This insight into differences between the analysis of textual products and the analysis of textual processes is of vital importance to translation. That is to say, in analyzing the SL original, which is already in existence, the translator should ideally speculate simultaneously on the three dimensions of the text for a comprehensive interpretation. And in the process of creating a TL text, the translator may have to switch the focus of attention between dimensions; what is more, the situational factors that affect the translator at this stage can very well acquire some elements typical of the socio-cultural context of

the target language. From the systemic-functional framework we may work out a preliminary model of the writing-translating process as shown in Fig. 2 below.

Fig. 2



Symbols:

(1) ┴┬┴ direct presence; (2) ......¦ indirect presence

(3) ▮ text creating; (4) —— by means of;

(5) ┌┴┐ derived simultaneously;

(6) ----- determining through the register

From Fig. 2 it will be clear that in the process of writing, the primary intention or motivation that has stimulated the writing (whatever it has been, transactional or interactional) is being materialized textually, with ideas and experience clarified and structured

through the use of language (see Halliday 1973:106, 109-10; Hudson 1984:37-38), as the three functions work simultaneously on the actual process of writing. And it is in this sense that we say the performance of textual function involves the writers' *experience of the language* used, as opposed to the experience of the external world and the internal world of their (sub)consciousness in the ideational domain. And in translating, the translator's experience of the target language may be very different from that of the original author, although the translator may succeed in approximating the author's experience of these worlds. It should be pointed out, though, that a Hallidayan description of translation as such does not have much to offer about the issue of intention and effect, hence, as it stands, is not extensive enough to cover the aesthetic domain of translation in general.

1.3.2 Speech act theory and translation

Another three-dimensional theory, which supplements our perception of translation by dealing with intention, effect and communicative achievement in language use, is speech act theory. As Austin puts it, 'we have three, if not more, different senses or dimensions of the "use of a sentence"...' (Austin 1975:109). The three dimensions, or, types of speech act, are:

Locutionary act: a linguistic act of saying something with an identifiable propositional meaning;

Illocutionary act: a linguistic act in saying something valid in a conventional communicative context, which acquires a

certain conventional, thus cultural, force to effect the communication by eg securing uptake, inviting a response, etc;

Perlocutionary act: a social act by saying something which would produce effects (intended or unintended) upon the listener's feelings, thoughts or actions.

The perlocutionary act, not conventional in nature, is a consequence of the other two acts. It can take the form of achievement or failure of a perlocutionary object such as convincing, persuading or surprising, or the form of production of a perlocutionary sequel without using a conventional illocutionary formula (Austin 1975:118).

Speech act theory brings under focus our concern with reference/'meaning' conventions, and their consequence in language use. These can be roughly summed up under two categories: cultural and individual. On the one hand, as the collective title of Austin's William James Lectures suggests, speech act theory, especially the illocutionary component, has a lot to do with language use in its cultural situation, because '*how to do things with ...*' manifests itself as a basic cultural pattern. On the other hand, the speech act takes into account the individuality of language use as well. As Coulthard (1985:20) points out, a potential investigation of the perlocutionary could lead to another pattern, that is, '*how to achieve things through ...*'. The pattern is inclined to be more individual than cultural, as it deals with effects on feelings, thoughts and/or behaviour.

It is in respect of individuality in a broader sense, ie individual intention and interpretation, that we notice an interesting shift of emphasis in the evolution of speech act theory, which has been

observed by Coulthard (ibid): for Austin, the illocutionary force lies in the successful realization of the speaker's intention, while for Searle it is a product of the listener's interpretation. Coulthard goes on to argue that to discover the speaker's intention has long been regarded by literary critics as a 'fruitless endeavour', and:

> those analysing language in use have discovered, there is, fortunately, no real need to concern oneself with the speaker's intention because interaction proceeds according to the listener's *interpretation* of the force of an utterance.

This reminds one of the apparently bifurcating trends in this century's literary scholarship and linguistic studies. Literary studies have drifted from the nineteenth century's realist tradition towards a more indulgent concern with personal and private feelings and inner thoughts, with authors' meanings and intentions becoming more and more multiplex and elusive.[1] In linguistics, however, the theoretical tendency has basically followed a communicationally-oriented line, concentrating more and more on the refining of the reader's interpretation of text as a socio-cultural product.

Such a state of affairs has certainly an important bearing on translation studies as a whole; an immediate result is the formation of some reader-centred translation theories such as Dynamic Equivalence (eg Nida 1964:176-177, Nida and Taber 1969:22-23), one of this century's echoes to Francis Newman's argument that 'the educated but unlearned public is the only rightful judge [of the taste of a translation]' (quoted in Bassnett-McGuire 1980:9; for the opposing argument, see eg Lefèvre 1975:3). It is interesting, nevertheless, to point out that by following

this argument of reader-centredness, or in other words Edmondson's 'hearer-knows-best' principle (quoted in Coulthard ibid), one is bound to arrive, paradoxically, at a translator-centred view of translation. In reading the SL text, it is the interpretation by the translator, as an SL reader, that matters; while in writing the TL version, as a TL writer, the translator should resign him/herself to the prospect that both the author's and his/her own intentions are to be left to the mercies of the TL reader's interpretation and should not be of a real concern, as it were. To put it in a less pleasant way, the reader is the customer, is God, and not only does God know better, but as Robert Browning wittily remarks, 'when I wrote these lines, only God and I knew their meaning. Now only God knows' (quoted in King and Crerar 1969:99)!

A reiteration of the distinction made by Rodway in his *The Craft of Criticism* (1982:175-176, 184-185) seems necessary at this juncture. That is, the so-called 'speaker/author's intention' which has caused dissent among language analysts and indeed literary critics, as Coulthard has referred to, is a kind of 'intentionalism', for the fallaciousness of which Rodway (ibid) has given seven reasons. Intentionalism as such means deriving the speaker/author's intention from external, non-discoursal data (eg from the author or from scholarship), and in consequence may be quite irrelevant to the textual reality an analyst or critic is dealing with. So it is another kind of intention, the *internal intention*, or *purport* as termed by Rodway, which is implied or evidenced by the discoursal arrangements of the text, that engages our attention throughout the current study. This is essential not only to critical appreciation in literary scholarship, but also to a wholesome understanding of the relationship between illocutionary force and perlocutionary effect in discourse analysis.

Such a perception of intention helps to furnish an aesthetic dimension to language studies as well as providing a linguistic basis for literary criticism. It also explains why, as a matter of fact, the author's intention, internal of course, has never faded from literary criticism and stylistics, and is always on the translator's mind. Halliday has argued rightly and convincingly for the importance of 'motivation' in his stylistic analysis of William Golding's *The Inheritors*:

> Foregrounding ... is prominence that is motivated. ... Where [a linguistic] function is relevant to our interpretation of the work, the prominence will appear as motivated.
>
> (Halliday 1973:112)

This bears a strong suggestion of the concern over the issue of intention in the guise of motivation, or about 'the distinction between attempt and achievement' (Austin op. cit.:106) of perlocutionary effects of a speech act. In translation, even the reader-centred method, ie Communicative Translation, proposed by Newmark (eg 1991:11), takes it as one of its features or criteria to pursue the author's intention. Whatever method employed, a translation is the product of the translator's interpretation of the SL text in the translating process; but, arguably, it cannot be deemed successful or reliable if it fails to bear out, or at least recognize or acknowledge the author's apparent intention or motivation as suggested by the textual evidence and signalled by the conventions of his/her time. The translator may very well have his/her own intention in translating, which may or may not be made known to the TL audience. Moreover, the TL reader may interpret the translation in a way different from the way the TL text

is supposed or hoped to be interpreted. But this goes beyond the scope of the present research.

What speech act theory has alerted us to is the issue of author intention. The problematic nature of discovering what the author's intention was gives the translator more responsibility than liberty, because in most cases translation is done in line with what *the translator understands* as the author's intention; and the TL reader will hold him/her to that. A story (as against a fable with a moral), a poem, or even a metaphor (as against a simile with its intention signalled by patterns such as *like...*, or *as... as...*) frequently constitutes a perlocutionary sequel to an illocutionary intention which is too complex to be formulated with overt precision, even by the author's own speculation (see Austin op. cit.:118 and Coulthard op. cit.:19-20 for perlocutionary act without illocutionary formula). This, paradoxical as it may seem, points to the need for a substantial effort in textual analysis to find out what the author's intention(s) were, as indicated by the textual evidence of which Bell (op. cit.:163-164) has proposed seven 'standards', ie, cohesion, coherence, intentionality, acceptability, informativity, relevance and intertextuality. Only in this way can translators find themselves in a better position to see any relationships between attempt and achievement, in the SL and the TL texts respectively.

Although in identifying a speech act one's attention frequently goes no further than the contour of a sentence, a point typically illustrated by sayings such as 'The speech act or acts performed in the utterance of a sentence are in general a function of the meaning of the sentence' (Searle 1969:18), we have to resort to a greater stretch of text and communicative context in our attempt to assess the *effects*. For

instance, we have to take into account the answer in a given situation to recognize the illocutionary force of a question. Also we have to appraise the non-linguistic aspect of reading activity, that is, the reader's response, to judge the effect(s) of a perlocutionary act, eg in terms of the distinction between the attempted and the achieved, or between the intended and the unintended. An obvious case is to determine the illocutionary intention in second person pronouns. The distinction between *ni* and *nin* in Chinese, as between *tu* and *vous* in French, can be taken as an illocutionary marker, while in English *you* certainly lacks such a distinguishing feature. In rendering the pronoun from English into Chinese, consequently, discourse markers have to be sought, within and without the sentence in question, for the transference of not only the correct locutionary content of number (singular or plural) but also the intended illocutionary force. Greater complication may arise when an illocutionary force functions in support of a perlocutionary effort in bringing about a change in the internal world (mind, feelings, thoughts, etc) of the reader in, say, a literary text. This points to the need for closer analysis of what is meant by illocutionary intention and how it is retrievable in actual text, since a speech act in isolation rarely offers any substantial clue about its illocutionary force.

1.4 STRUCTURE OF MEANING (SOM): A COMPREHENSIVE THREE-DIMENSIONAL MODEL OF TRANSLATION AND TRANSLATING

If the systemic-functional model is mainly concerned with the semantic structure of text, then speech act theory appears to be more about sentence in use. Although text may lack a grammatical structure to

support its status in the rank scale, analysis of text as an expanded and elaborated act based on sequences of speech acts has led to the notion of *text act* and its use as a unit to judge translation equivalence (Hatim and Mason op. cit.:78). And in our study, the pattern of 'illocutionary force + information' on the sentence level can be applied to discourse analysis on the text level. So if we assume the applicability of speech act analysis on the text level, we can discern another significant link between the two models: the systemic-functional model provides us with an insight into the mechanism of text creation in relation to language user, communication and situation, while the concept of speech act draws our attention to the illocutionary force and the perlocutionary effect of a text in actual communication, both models hinged on a three-dimensional perception of text.

At this juncture we are reminded of the potential three dimensional view of translation in the 'faithfulness-accessibility-elegance' maxim of the discerning Yan Fu, who, without the sophisticated apparatus provided by modern linguistics, has notably touched upon the nature of text formation in translation, namely, to be ideationally faithful, interpersonally accessible, and textually elegant.[2] And it is interesting to see that after nearly a century, this oriental intuitive insight finds support in the western analytic tradition.

The tri-stratal nature of language and language use can be further demonstrated by the general comparability between the two models along the three dimensions:

First, both the ideational function and the locutionary act refer to 'content', or 'meaning' in the traditional sense. Together they contribute to an awareness of the logical mechanism of sense-making in language use.

Secondly, both the interpersonal meaning and the illocutionary act concern themselves with communicative issues. But the interpersonal is more about 'which pattern can perform what function': thus it begins with patterns such as mood or modality, management of point of view (person), and expressiveness of intonation. The illocutionary, on the other hand, seems to work from the other end of the line: 'in performing what function [eg informing, ordering, warning] which linguistic act is [conventionally] right', and its effects, which are different from the perlocutionary effects, are to be verified in terms of securing uptake, taking effect, inviting a response. The two jointly provide a communicative perception of linguistic performance in terms of role relationships in the socio-cultural context, which to a great extent determines information distribution in text formation.

In their third dimension, the two models are more complementary than similar. On the one hand, the textual, instrumental to the ideational and interpersonal (Halliday 1973:107) as an enabling function, goes deeper into the linguistic potential of a language for the rhetorical modes in creating text. The performance of the textual function is thus a linguistic representation of the social interaction which should be closely connected with the context in which the text is generated; also it is an instance of application of the linguistic system of the language in which the text is written. The perlocutionary act, on the other hand, opts out of the linguistic framework and is regarded as a non-linguistic act, a consequence of the locutionary and the illocutionary which are definitely linguistic acts (Coulthard op. cit.:19). How far it can stay outside the linguistic domain remains a question though, because the 'persuasive and oratorical techniques' it involves, as implied by Coulthard himself (op. cit.:20), are by and large linguistically-oriented,

at least in written texts. But the consideration of non-linguistic effects on an individual's feelings, thoughts and behaviour has suggested a very significant area of attention in text analysis: the effects of textualization on the reader.

Translating starts from the analysis of one text and concludes with the creation of another, normally crossing at least two languages and cultures, a process that begins with comparison and terminates in choice. (But a translation is never finished!) 'Text is meaning and meaning is choice', as Halliday (1978:137) puts it. The systemic-functional model and speech act model, as we have seen, have offered, complementarily, some important insights into the text in creation as well as in use. But to cover the translating process proper, we are still in need of a more comprehensive model, or understanding, on the basis of those existing ones, to cater for the demand of interlingual and cross-cultural operation of choice-making in text creation. Meaning is choice and choice is three-dimensional in nature, as functional grammar and speech act theory have proved. The meaning chosen in the process of writing/translating thus constitute the text as a three-dimensional structure - referred in the present study as Structure of Meaning (SOM) - which in translating should be delineated in (SL) text analysis and reconstructed in (TL) text creation. In other words, at each end of the translating process there is a SOM, whose comparability and similarity determine the successfulness of the translating.

There can be no clear-cut lines between the three dimensions, each of which contains 'facets' slanting in the direction of the others. The dimensions represent the emphases we put on the features of a text in one language and its translation in the other; they are not to limit our attention to one particular aspect of a linguistic fact at the expense

of others. In light of this, each dimension is a part of the whole SOM, and as we will see, each unit on the rank scale can potentially lend itself to comprehensive analysis as a SOM in its own right - even 'every lexeme of a language is an entire world in itself' (Mel'cuk quoted in Carter 1987a:3).

1.4.1 Linguistic composition: the first dimension of a SOM

In this dimension the emphasis is first of all put on the linguistic physique of a text, that is, its lexicogrammatical and phonological/graphological patterning. And secondly as a locutionary act of writing down something as a text, we must attend to its ability to make sense. Or from the translator's point of view, one must trace the ideational content activated by the field in the original text formation. To start with, one has to pay sufficient attention to the cognitive meaning and the logical relations in transitivity that make up the basic experiential sense of a text. Because syntactic sequential patterning is usually a useful and straightforward guideline to get to the most fundamental meaning of a stretch of language, analysis at this stage is generally of the wording on the sentence ('clause complex' in Halliday's terms) level or below. Translation in this linear manner can be mechanical, similar to the traditional practice as a means of foreign language acquisition. But translation has moved on.

1.4.2 Interactional dynamic: the second dimension of a SOM

Translation has moved into a communicative domain. Those whom it serves are no longer language pupils but reading publics of various interests. And text becomes interaction, exchange of meaning, bearer of social values rather than just a dead congregation of words. This underlines the interactive function of translation.

In this dimension connotative meaning presents itself as interpersonal meaning, in the sense that it depends on the reader's interpretation rather than the writer's intention to secure uptake. But on the other hand, the illocutionary forces of a text have to be explored for attitudinal messages in a conventionally agreed or recognized way. Analysis of the SL text in respect of interpersonal significance and role relationship, like analysis of the illocutionary act, is a process based on the SL convention, which should ideally find itself retained in the TL text as cultural message.

Another facet that has to be dealt with is distribution of information. This is textual in function (eg arrangement of Theme-Rheme patterns), but communicative in nature. It is based on the participants' assumption of shared world-knowledge, of agreed (ie conventional) principles of selection and organization of information, of common faith in retrievability of omissions in interpretation, and of common past experience referred to in the language of the text (cf. Halliday 1978:60). Even the non-structural textual devices of cohesion draw their efficiency from how much the reader has activated memory, knowledge, experience and the logic of deduction in, for instance, picking up a referent, reconstructing an ellipsis.

Translation in this dimension therefore takes the whole text into account. The method frequently used is that of Communicative Translation proposed by Newmark; the main criterion is *dynamic equivalence*. Translation at this stage takes as its principal task to convey the ideational and the interpersonal information, but not necessarily the stylistic significance of the textual function. So translation has to move on.

1.4.3 Aesthetic impact: the third dimension of a SOM

As the word 'impact' suggests, the third dimension of SOM is still interpersonal in nature (for a parallel use of 'impact' as related to interpersonal meaning, see Smith 1986). But emphasis here has shifted from information to effect, or, from information presentation to 'information manipulation', to match as far as possible the effect intended by the SL text and the effect actually achieved by the TL text. Approaches to the text (either SL or TL), like the analysis of perlocutionary acts, are more individual than conventional. Textually, rhetorical modes and authorial techniques in this dimension can be analyzed in greater detail to reveal the author's possible intentions as understood by the translator and felt by the reader.

This is the dimension that closes off the SOM by drawing on the resources of the other two dimensions. Let us consider the figuration of a text. In order to assess its semantic significance for translation, the translator has to examine it ideationally, interpersonally as well as textually, taking into full account the situational factors that affect text formation at two stages (cf. Fig. 2 above). Moreover, semantic resources

go beyond the boundary of the semantic system. Phonological and syntactic enactments of semantic meaning, in the form of phonaesthetic elements, marked collocation and syntactic imagery, are actually configurations of lexicogrammatical, phonological and semantic features of the language as a whole.

As for units of translation, the concept becomes rather flexible when the texts involved are seen as corresponding SOMs. On the one hand, we have to move frequently upwards from text to take into account situational activation and generic constraints. And on the other hand we more often than not have to concentrate on levels downwards from text, ie sentence and below, to produce a matching local effect *in the light of the global significance of the text.* Accordingly, the method used in translation should be more faithful than Communicative Translation, but broader and more flexible than Semantic Translation by minimizing the awkwardness usually associated with the latter. In so doing the translator is conveying the original's ideational message as intactly as possible while textually involving the TL readers in, instead of merely informing them of, the effects intended by the SL text, using positively and actively the resources of the target language in textualization.

When translation is studied comprehensively as a three dimensional structural process it begins to stand as an academic discipline. Such a study of translation, drawing on developments in contemporary linguistics, should neither be drifting and floating on practising translators' intuitive or empirical speculations, nor imposing a burden of theory, to be held in contempt, disliked or feared by the translator (Newmark 1981:100, Reynolds 1992:29) as 'a poor substitute for several years of intensive practice' (Lawendowski 1978:265). It should

offer itself instead as a reassuring bridge between theory and practice, providing theoretical awareness and remedies for the practice of translation. The purpose of this study, therefore, is to attempt to create a direct perspective of translation activity through the analysis of the SL text and the TL text in their corresponding dimensions of linguistic composition, interactional dynamic and aesthetic impact. Theories of various emphases are to be employed in the interest of practice - to make good translators better (Nothing turns bad translators into good.) without asking them first to become experts in linguistic theory, as some theorists may have privately hoped.

1.5 RELATIONSHIPS BETWEEN THE DIMENSIONS OF A SOM

The notion of SOM offers a perspective on translation in its linguistic, interactional and aesthetic dimensions. This is different from two-dimensional mosaic descriptions of structure, which will be more appropriately referred to as 'area' (eg 'meaning area'), or 'pattern' (eg 'sentence pattern'). In this analysis, the problematic relation between 'linguistic structure' and 'aesthetic structure' in literary studies, as mentioned by Drière (1957:88), would cease to be so troublesome, as the two 'structures' are treated as two complementary (instead of conflicting) constituent dimensions of a SOM.

1.5.1 SOM and genres

What is to be translated is text. And it is the SOM in the SL text that is to be reconstructed in the TL text. But the proportions of the SOM are by no means identical in all of its dimensions in all types of texts. And it is the difference in proportionate importance of dimensions of a SOM that gives rise to the variety and diversity of text types.

A text, whatever generic group it belongs to, first of all appears as a sequence of symbols or signs on the page, i.e. words, phrases, or sentences, which form the linear linguistic composition of its SOM (see Ballmer (1981) for an overall account of the relation between words, sentence and text). Beyond its sequential appearance, a text presents itself as a two-dimensional pattern of 'form x information', only to complete its SOM with a third, aesthetic dimension. The third dimension as such is the result of personal emotional involvement on the writer's part, in consequence effecting an involvement of a similar nature on the reader's part in the process of reading. If we endorse the argument of literariness, an element degrees of which are identifiable along the cline of text types in text analysis (Carter and Nash 1983:124), we can see that the aesthetic dimension of the structure of meaning runs in parallel with literariness, and may be posited as actually finding its textual realization in the latter, a question so far largely unaddressed in literary scholarship.

In this analysis, the prototypes of those text types addressed more to objective facts than to subjective emotions are generically characterized by less density of literariness and a 'flat' SOM.[3] A 'round' SOM will display a higher degree of literariness and a more significant aesthetic dimension. Broadly speaking, the three dimensions

of a cubic SOM as such work respectively and cooperatively in a communicative situation through grammar, information processing and emotional involvement, to perform the locutionary act for a well-formed and valid sentence, the illocutionary act for an appropriate interactional force and the perlocutionary act for the intended impact (cf. Hatim and Mason op. cit.:59-60).

The cubic model of SOM also means examining each text individually, by placing its features and functions in appropriate dimensions, within the framework of conventional classification of text types. A perception of text as such is of great import in translation, as a translator is most of the time dealing with individual texts. Generally, an advertisement text, for instance, presents a SOM which is short in the first dimension (if it is terse in wording), long in the second (if it carries a great amount of message in relation to its textual size), and variable in the third (depending on the impact it makes on the receiver by means of the presentation of message). A phatic text, on the other hand, can be enormous in the first dimension but meagre in the second (apart from performing some specific social functions), and, generally, low in the aesthetic (see Sampson 1980:224 for an account of phatic text; see also Laver 1975). And a poem by nature is inclined to be not sizable in the first dimension, variable in the second, but high in the aesthetic third.

So far as text classification is concerned, the traditional division between literary and non-literary languages is now under question, with the introduction of the concept of literariness and the positing of literary clines. In translation studies Newmark (1981:127) has advocated a more functional basic distinction 'between good (or effective) and bad (or ineffective) writing'. Hatim and Mason, on the other hand, have

warned of the danger of over-classification, arguing that classifying texts either by text feature or by text function has its built-in weakness: it tends to be too broad in the first place, and a more narrowed focus of description would either 'run the risk of ending up with virtually as many text types as there are texts', or be caught in the problem of multifunctionality (Hatim and Mason op. cit.:138).

It is probably right for a translator to be content with a general, or even noncommittal text classification, but certainly it is not right not to avail oneself of the sophisticated insights provided by genre and register consideration, in the tracing of the situational factors of field, tenor and mode (after Halliday 1978, see Figures 1 and 2 above) which have a direct bearing on the actualization of the SL text. The author may claim, with witty authority, that God only knows what *his* work means; readers may well dodge the subtle challenge of good writing and keep whatever they have gathered from reading to themselves. The translator, however, in a sandwiched position between reader and writer, seems to be the only one who has to make every single effort to perceive the reasons behind, as well as the meaning of, the textual features in order to justify his/her own output and not to wrong either party (cf. Raffel 1971:160). The model of SOM is, in a sense, designed to help reveal the ingredients of good, or bad, writing for inspection in translation. In this way the SL text and its TL counterpart can be analyzed and the process of translating studied in the light of the degree of compatibility between the two independent SOMs sustained by their individual internal relationships among the componential dimensions. All these relationships can be appropriately examined only against a dynamic background projected by the typological and generic contexts of both languages and cultures.

1.5.2 SOM: where form and content merge

Text typology, or generic classification, by nature can be regarded as one of the recent attempts to address the problematic classical dichotomy of form and content. It is a useful approach to the matter but still too general for the purpose. For linguists, it has proved not advisable (even harmful) to divide language by textual feature into literary and non-literary types. For translators, it has been found risky to go into detailed classification by function. Classifying texts by informative message, for instance, into scientific and non-scientific types, does not help either. Typology is useful when it highlights the collective features of genre and register; but it can be a precarious practice if one is led to over-stress certain aspects of text at the expense of others (see McCarthy and Carter, in press, ch.1).

On the other hand, the Hallidayan system of ideational, interpersonal and textual functions and the speech act theory of locutionary, illocutionary and perlocutionary acts, as we have argued above, have pointed, respectively but correlatively, to the three primary dimensions of text, and our model of SOM is designed to incorporate the two and to extend them in dealing with the issue of translation comprehensively.

'Form' and 'content', in the dualist's terms, are two distinct, or even polar and opposite components of text (see eg Nida and Taber op. cit.:14). In the ordinary sense of the words, however, they make up only the first two dimensions of SOM. For a text to assert its individuality, to acquire a sustainable structure, any two of the dimensions have to be connected with a third for a structural stability of stylistic significance. Form and content, or linguistic composition and

interactional dynamic, therefore, should be related to the third dimension of impact. In this sense we can indeed see a parallel with the 'enabling' nature of Halliday's third (textual) dimension. Textual management can thus be viewed as active implementation of the author's interpersonal intention as to it emotional and aesthetic implications have been attached.

The aesthetic impact as a dimension of the SOM in our sense therefore will not be regarded as limited, as a 'minor' function of language, ranking with the phatic and the metalingual (Newmark 1981:21), or as extreme, as the principle distinguishing poetry from prose (Drière op. cit.:90-1), or as heavy-weighted, as features *against* semantic content and formal contour (Levy quoted in Bassnett-McGuire op. cit.:5-6). And at this juncture we have to reiterate our point made above: a text viewed from different angles can yield different proportionate relationship between the dimensions of its SOM.

The linguistic composition provides the text with material being that makes logical sense; the interactional dynamic renders the text communicatively purposeful; and the aesthetic impact ascribes individuality to the text by combining the 'being', the 'sense' and the 'purpose' through the realization of 'effect'. Language and information, whatever the relation between them, have long been regarded as essential in text creation; but the aesthetic is equally indispensable with its specific contribution to shaping the text as a structure. The aesthetic quality of the text can be positive (ie, pleasant to the senses), negative (ie, unpleasant to the senses), or neutral. It is neither the language nor the information about the world, but the linguistic presentation of the information governed by the aesthetic that pigeonholes the text into a particular genre. And, when we consider the

text in relation to its genre membership, the essence of its third dimension emerges: appropriateness to the generic requirements. Genre, fluid as it may be as a concept, provides therefore a tangible framework for textual performance (see McCarthy and Carter, in press, ch.1). The choice of a particular genre is actually a manifestation of communicative purposes in a certain socio-cultural situation, 'ultimately a function of users' intentions' (Hatim and Mason op. cit.:140). The well-writtenness of the text, to a great extent, means appropriateness on the genre level and stability on the text level. For instance, if neutrality is appropriate to a certain genre, say legal texts, then it should be obtained as the required aesthetic dimension of the SOM and the textual stability can thus be maintained; any other properties, positive or negative, will reduce the well-writtenness of the text of this type and upset the stability of its SOM (see McCarthy and Carter ibid, sec.1.6 for a summary of genre classification). In texts of high literariness, on the other hand, innovative writing (either positively or negatively oriented) is regarded as appropriate and is actually expected, so it can be a fundamental contribution to the aesthetic dimension of a text of this kind.

The better the text is written, the more stable its SOM will be; and in consequence the more difficult it will be to translate it. Translation deals with texts individually, dissecting the SOM in the SL text in an attempt to rebuild a matching one in the TL text. As a result it is bound to affect the dimensions of SOM at various degrees, regardless of the kind of language or the type of text. So far as translation is concerned, the aesthetic is useful as a general criterion, materialized in parameters such as communicative purpose (the relation between author/translator and reader), appropriateness (the relation

between text and genre as institutionalized social mode of expression). and structural stability (the relation of the aesthetic with the other two within a text, ie the individuality of a text).

With the rise of communication theories in the twentieth century, a drift of emphasis from text to reader has marked contemporary thinking in translation studies. The phenomenon, noticed by some translation theorists (eg Newmark), indicates a progress from a single-dimensional perspective of pure linguistic concern (for instance, how to translate an adjective clause, etc) to a two-dimensional approach to translation as information conveyance and acceptance. It implies, however, a tendency to ignore textual features of the SL text in favour of more ready acceptance of ideational content in a new linguistic, socio-cultural context. This, if carried too far, may become another version of one-dimensional understanding of translation which regards communicativeness as the only thing that matters in translating.

The application of communication theory to translation in our study, however, has led to an understanding of text in its three dimensions; and translation is viewed as a text-based (both SL and TL texts), translator-centred and reader-oriented performance aiming to construct in the target language a SOM that will match as much as possible the original one in the three dimensions. Translating is no longer a rude practice shedding off the 'form' to pass on the 'content'.

This chapter has so far been a preliminary outline. As the starting point, it should be clear that our purpose is firstly to bring the focus of attention back to the text(s), to the workings of translating as distinct from those of writing, and secondly to put the translator alongside the writer and the reader. This is meant to neutralize the

'worship' of the reader's response in modern translation studies, in the interest of the TL readers themselves, by giving back to them the access to the world of the SL text; and to provide a ground for target-text oriented translators and source-text oriented translators to 'bring their versions closer to each other's', as advocated by Newmark (1991:4).

1.6 TRANSLATING: A THREE DIMENSIONAL PROCESS

Theorists have found it not easy to define a translated text in relation to the original. The difficulty is typically seen in such a circumlocutory statement as Lattimore's (1959/66:49), that a translation presents 'what the original would be, might be, or ought to be, must be' in the target language. Descriptions via fuzzy metaphors, such as translation being 'a living work' (Popovic 1970:80), or 'a living entity' (Bassnett-McGuire op. cit.:70-71, talking about Edward Fitzgerald's translation of *The Rubaiyat of Omar Khayyam* (1858)) in the TL culture, border on an elusiveness and subjectivity similar to that in classical Chinese critical practice which, according to Jing Wang (1989:267), 'embodies a kind of intuitive insight beyond one's analytic grasp,' and defies definition.

It is not, however, our purpose here to clarify the description, or prescription, of what a translation should look like, since translating as a process inevitably proceeds from the original text towards its (at least temporarily definite) end product in the form of a TL text. It is, therefore, probably of more interest to trace this process in a more analytic way, to see what the roads in a jungle of vying claims (linguistic and cultural) will lead a translator to.

1.6.1 Idiomatic and creative use of language

In the first dimension of the translating process, the translator deals with the lexicogrammatical system of both the source and the target languages, each of them 'organizes its view of reality ... in its own way' (Leech and Short 1981:122). Here, on the one hand, the translator has to work against structural and functional differences between the languages, a full recognition of which has yet to be given by modern linguistics. On the other hand, the translator believes in the (at least theoretically) infinite resources of the target language and his/her capability of and licence in using the language creatively, making sentences that may have never been heard, conveying ideas that may have never been articulated before in the language. This is the basis of cross-cultural translatability; it implies the possibility of deviation from idiomaticity in translating on not infrequent occasions.

It may be interesting for a translator to notice the alterations and fusions of canonical forms of idiomatic expressions among native English speakers in conversational discourse observed by Tannen (1989:40-42), a linguistic phenomenon existing among native Chinese speakers as well, and certainly not uncommon in written texts. For instance, *zhaixia* ('cramped:narrow') is a fusion of *zhaixiao* ('cramped:small') and *xia'ai* ('narrow:limited'); *liangtou shouyan* ('being smoked at from both ends' -- being blamed by both parties) is an altered form of the idiom *liangtou shouqi* ('being blown at from both ends') of the same meaning. Such petty ingenuity, unwitting though it may seem, can be, in Tannen's (op. cit.) words, 'a form of linguistic creativity rather than an error or misfire'. Therefore, being idiomatic is not at odds with being creative and off-beat to claim the reader's attention. Idiomaticity and creativity

are two complementary elements in any good writing. If they are encouraged in writing where one has something original to write about, they should be prerequisites for translating, where one has to write in a matching style what has been written originally in some other language, some other time.

1.6.2 Restoration of information distribution

Translating acquires its second dimension when the translator sees through the locutionary sense, the thought, or the information to get to the illocutionary message. Here lies the umbilical cord that links a translation to its original. If the truth value of the SL text is subject to the conditions governed by the reality of the world it belongs to, the TL text, in principle, can be true only to the reality of the same world. This world should be the one created or depicted in the SL text if it is a text of high literariness and thus of high text-sovereignty (see for instance Widdowson (1993) for the 'non-accountability' of literary texts). And if the SL text is 'utilitarian' in nature, then it is the objective world, to which both the SL and TL texts should be true, that acts as a constant reference or governing factor throughout the translating process to ensure the validity of the TL text.

To be faithful to the world and the illocutionary message of the SL text, translating in this dimension should seek to restore in the TL text the distribution of information in the SL text. A question worth asking is what is the author's communicative intention behind the *arrangement* of information units in the text. The organization of text as such links linguistic choices with discourse choices, and language

uses (idiomatic or innovative) with socio-cultural conventions (cf. McCarthy and Carter, in press, ch.2, esp. sec.2.4). Translating would be reduced to some general or even desultory rewriting, once severed from its SL origin in this dimension since, looking beyond this dimension, we can see that the other two dimensions of the TL text are just 'reflections' of their SL counterparts, subjected to the filtering by the linguistic and cultural faculties of the target language, and above all, of the translator as a human being as well as an operator.

1.6.3 Matching the effects

Since the second dimension of translation is so important, it tends to overshadow, unduly in most cases, the significance of the third. This happens when translation becomes more 'communicative', which means the translator is more interested in informing the TL readers of rather than involving them in the world presented in the SL text, as in the case of modern Bible translation observed by Newmark (Newmark 1981:45; on bible translation see also Beekman and Gallow 1974). In so doing, the translator concentrates, more often than not, on the first two dimensions, or even the second one only. Although the translating of most texts is more communicative in nature, (of such 'run-of-the-mill texts' Newmark (1991:10) has given a long list), the project of reconstructing a matching TL SOM does require a process of three-dimensional translating.

In its third dimension translating manifests itself as an aesthetic activity, calling for a more active and creative involvement of the translator to feel for the SL text's perlocutionary effects in order to

retain them in the TL text. It is in this sense that we say the third dimension of translating offers a chance for the translator's ability, talent, and originality. The perception of the original's aesthetic impact at this juncture becomes very important although the realization of such an impact in the TL text is better appreciated in line with the TL cultural orientation.

In this analysis, the three-dimensional process of translating is actually a dynamic, cross-cultural channel with two matching SOMs at the ends. The first dimension of the translation process, mechanical in practical exertion and eventually comparable between the SL text and its TL counterpart(s), provides a field for manoeuvre of the target language's linguistic resources. The second dimension, having to do with information distribution on various levels, lends itself to measurable truth conditions which may determine the successfulness of conveyance of the propositional message. In the third dimension, however, with greater involvement of the translator and the reader, translating becomes more personal, emotional, and more like an art than a science. As Lefèvre (1975:99) points out, 'unsatisfactory renderings of the source text ... all concentrate exclusively on one aspect of the source text only, rather than on its totality.' A translating process which fails to take account of the three dimensions of the original text, can turn out a translation either like a distorted reflection of the original in the linguistic and cultural waters of the target language, or a parasitic growth which bears little resemblance to its host.

1.7 A FEW WORDS ABOUT THE FOLLOWING CHAPTERS

In the following chapters we will be taking up each of these dimensions with reference to the other two, simply because it is impossible to study fruitfully any of them in isolation. Practical problems in translating will be dealt with in due course, illustrated by examples gleaned from modern and contemporary practice. Although due attention is paid to context whenever and wherever possible, one cannot help enlisting instances, short passages, sentences, or even individual words, without giving their contexts. To compensate for this, some full texts of prose and poetry are given with their translations in the appendices for any prospective speculation on a more extensive basis.

Also, it is hoped that translations should be read in their historical contexts, for 'what is good or adequate translation in one generation may be laughable in another' (Furley 1958:52). And as Hatim and Mason (op. cit.:12) point out:

> The translator's motivations are inextricably bound up with the socio-cultural context in which the act of translating takes place. Consequently, it is important to judge translating activity only within a social context.

Any responsible renderings are treated with due respect. In this light even the controversial Chinese translation of T.H. Huxley's *Evolution and Ethics* (*Tian Yan Lun*) by Yan Fu, for instance, can be justified as a 'social equivalent' of the original under the conditions in China at the turn of the century, although it may not be valid as a model for later practitioners (see He (1925/1984) for an overview of Yan Fu's translation

practice and its criticism and Ng (1991) for the cultural confrontation between *Tian Yan Lun* and *Evolution and Ethics*). The interest of our research, therefore, is in finding to what extent the concept of SOM can improve translation between English and Chinese as a whole, rather than to find fault for fault's sake.

Last but not least, the present thesis is meant to be more illustrative than exhaustive, exploratory and descriptive than rule-setting and prescriptive. The 'shoulds' and 'should nots' are based on our analysis. But to our conclusions, as to any conclusions, there are always exceptions. 'Black swans and dark horses' are inevitable in Translation, a subject still young as an academic discipline and always diverse as an intellectual and emotional activity.

Notes:

1. The trend has been picked up in Chinese literature on two major occasions so far, first in the New Poetry Movement in the twenties and later in the *Menglong* Poems (the Mists) and Novels of the New Period in the late seventies and eighties.
2. From the viewpoint of speech acts, it can be understood that Yan Fu's maxim was meant in theory to make his translations more appealing, persuasive and acceptable to the classically educated mandarin officialdom and intelligentsia at the time, a plausible perlocutionary attempt of this exponent of the Western new thinking.
3. It is noticeable, however, that even those types which seem to have a zero aesthetic dimension, eg ordinary workshop manuals

and legal documents, if employed in a text designed to involve the reader emotionally, can serve a potential aesthetic purpose, by means of contrast for instance, on a more global level of text. On the level of word, how the potential aesthetic of a monosemic term can be brought into play through 'register borrowing', or 're-registration', is wittily illustrated in Carter and Nash (1983:129).

Chapter II

Linguistic Composition: Foundation of the SOM

Linguistic composition, which materializes a text, constitutes the fundamental dimension of the SOM. In this dimension choice of word-order (syntagmatic choice) and choice of word (paradigmatic choice) stand out as two primary concerns in translating as well as in writing. The word-order of the text signals the fulfilment (by means of textual devices provided by the language) of the syntactic obligations under which the writer (author or translator) has been placed by the language. If the text is to be viewed as a sequence of words, the order of the words as a whole draws on the choices of these words for its ideational meaning and interpersonal initiative to engender the communication between the writer and the reader. A comparative study of the linguistic composition of the SL text with that of the TL text in this chapter is thus necessary not only to reveal the seemingly mechanical aspect of translation activity, but also to prepare the ground for the subsequent discussions on the more dynamic and aesthetic sides of translating.

For that purpose in this chapter we shall be looking firstly at the linear sequence of word-order, up to the sentence level, when we make a comparative study of the sequential options 'in terms of permissible combinations of units from the rank below' (Coulthard 1985:121).

Secondly it is the choice of word that will engage our attention: The translator's problem is not confined to finding a suitable equivalent for a word but also involves the question: Why, apart from grammatical or phrasal obligations, is it this word (or no word), instead of other

possibilities, that has been used to fill this syntactic slot? Factors such as the syntactic context as well as the semantic features of the word should be the immediate constraints; but the issue, to make it more meaningful for translation, must be perceived, from time to time, from a more global viewpoint of textual or discoursal organisation.

Such a comparative study of syntactic sequence and semantic choice will, as a matter of course, give rise to questions which it is more appropriate to deal with in the following chapters. This should be seen as a proof of the organic nature of the SOM as an integrated unit. But none the less, the discussion will lead us in this chapter to the third topic, ie, Unit of Translation, on the usefulness of which theorists have found it difficult to see eye to eye.

The comparative study of the linguistic dimension in this chapter is intended to prepare the ground for the study of the other two dimensions of the SOM model by offering a new classification of textual components, which consists of:

syntactic bearers: the elements which support the grammatical edifice of a text;

information carriers: the elements which convey ideational and interpersonal messages in writer-reader communication;

stylistic markers: the elements which signal the stylistic features and the aesthetic impact of a text.

It should be pointed out, though, that every textual component in the traditional sense, e.g. a word, a sentence pattern, can play more than one role; or in other words, belong to more than one category listed above when viewed from a different dimension.

2.1 WORD ORDER: LINEAR SEQUENCE OF SYNTACTIC ARRANGEMENT AND COGNITION PROCESS

When talking about 'a correlation between form and content', Lakoff and Johnson (1980:133) point to a basic fact: 'Since we speak in linear order, we constantly have to choose which words to put first'. Which words to put first, and which words to follow - this is syntagmatic choice put in the plainest terms, in speaking, writing, and translating alike. And between Chinese and English, translation theorists and practitioners have not been slow in noticing the similarities in word order, which led, or misled, Fenollosa to believe that translation between English and Chinese can be 'exceptionally easy' (1936:16), and which, according to Graham, have contributed to 'the greater success of poetic translation [into English] from Chinese than from Japanese' (Graham 1965:14). But, as Raffel (1988:45) points out, 'Chinese employs particles unknown to English and does not strictly parallel English's analytical syntax', besides other well-known differences such as lack of concern with verb conjugations, plurals and tenses in Chinese. Moreover, there are some other features possessed by English that are alien to Chinese, such as the extensive and subtle use of pronouns and articles (see examples below).

What is more important, however, is that word order in the two languages influences meaning in very different ways. This fact needs to be stressed in our observation of the relationship between word order and meaning in the two languages, as in this area there are yet fewer regulating guidelines to follow in translation. It is, of course, beyond the scope of the present study to dwell on a detailed comparative study of word order between English and Chinese; rather,

we will illustrate the point by analyzing different expressions of one of the commonest transitivity patterns, ie the transitive pattern of action, in Chinese with its English counterparts. Later we shall observe how modification would amplify the basic pattern as such into more fully-fledged sentences in discourse, and its significance in translation.

The most fundamental point to make here is that Chinese grammar is so functionally-oriented, as observed by Li and Thompson (1981, sec.2.3), that the language should be typed as a 'topic-prominent' one. For Chinese, a traditional syntactic analysis in terms of subject-predicate formation may yield little, but a functional one in terms of topic-comment or theme-rheme distribution will provide much insight into the linguistic composition and the interactional dynamic of the text materialized in the linear arrangement of the syntax. Since English grammatical theories are developing into a more and more functional scheme to accommodate the meaning in use and information structure of real texts, it is on the functional level that we have found the workings of the two languages are best comparable, and that the study of translation can be most effectively based.

2.1.1 A-V-O sequence and its variations

Given an Agent (Actor) *ta* (he), a Verb (Process) *chi* (eat) and an Object (Goal, as the 'affected participant') *fan* (meal) and some function words (fw) such as *le* (indicating completion or expressing assertiveness) *rang/gei/bei* (passive coverbs in Chinese, functioning like *by* in English) and *ba* (to invert V-O order), we are able to give a list of declarative clauses in Chinese with various word orders to illustrate

how the niceties of ideational/interpersonal meaning can be matched or approximated to by their English counterparts, as we see in the respective analyses of Chinese and English below:[1]

[2.1]

(1) Ta chi fan.

A - V - O

He eats (a meal).

A - V - fw - O

Neutral in modality, this is a typical 'grammatically congruent' clause, indicating only the action (of eating a meal).

(2) Ta chi fan le.

A - V - O - fw

He has started eating.

A - fw - V - O

Neutral in modality, (2) asserts the onset of the action, with *fan* (meal) too non-specific to be accountable in the English version where the object semantically specifies the action.

(3) Ta chi le fan.

A - V - fw - O

He has eaten (a meal).

A - fw - V - (fw - O)

Neutral in modality, (3) indicates the resultant state of the action, eg the actor's readiness for some other action(s). Such clauses are frequently used in narrative discourse as a lead-in to the subsequent action(s) or happening(s) in temporal or logical sequence.

(4) Ta fan chi le.

A - O - V - fw

He *has* eaten his/the meal.

A - fw - V - fw - O

(4) suggests a state the actor is in after completing the action (eg 'he is full'), and in consequence the actor is supposed to be ready for some other action expected of him. By forwarding the object to a preverbal position, a sign of referentiality (specificity), the speaker displays more commitment to a particular stance or attitude than in (3).

(5) Ta ba fan chi le.

A - fw - O - V - fw

He *has eaten* the meal. or

He has eaten the meal.

A - fw - V - fw - O

This is a stronger version of (4) in the sense that it stresses the agent *and/or* the result of the action, eg answering the question 'Who has eaten the meal?'. The *Ba* construction here is a device to end-position (hence to potentially mark) the verb; meanwhile it shifts the post-verbal noun (object) to a preverbal position and thus the noun stands for a definite referent (See Yip and Rimmington 1991:15).

(6) Ta ba fan gei chi le.

A - fw - O - fw - V - fw

He has *eaten* the *meal.*

A - fw - V - fw - O

With a hint as to the speaker's personal stance or feeling, eg an implication that the actor should not have done the action, (6) is

stronger than (5), as the end-positioned verb is further asserted by *gei.*

(7) Fan ta chi le.

O - A - V - fw

The meal he has eaten.

fw- O - A - fw - V

With the object (meal) fronted to the thematic position (as the topic), (7) is stronger than the unmarked (4), and potentially answers the question 'What has happened to the meal?'

(8) Fan ta gei chi le.

O - A - fw - V - fw

The meal he has *eaten.*

fw - O - A - fw - V

(8) is a stronger version of (7), which is already a marked pattern. It answers the same question but has an attitudinal overlay, eg with a touch of regret about the state (ie unavailability) of the goal as the result of the action and the extent to which such a state affects the concerned party (eg the hearer). The A-V order has been interrupted, and thus enhanced, by *gei.*

(9) Fan rang/gei/bei ta chi le.

O - fw - A - V - fw

The meal has been eaten by him.

fw - O - fw - fw - V - fw - A

As a passive construction, (9) is stronger than (7), with the agent emphasized by *rang/gei/bei* to answer the potential question 'By whom has the meal been eaten?'.

(10) Fan rang/bei ta gei chi le.

O - fw - A - fw - V - fw

The meal has been *eaten* by *him.*

fw - O - fw - fw - V - fw - A

Also passive, (10) is even stronger than (9) with the A-V combination interrupted by *gei.* It could answer the question 'What has happened to the meal?' in terms of 'What has been done to the meal by whom'. Like (6), it may carry an attitudinal implication, eg that (the result of) the action is a mishap.

In the above comparative observation, it may be worth noting that we have adopted the notion of logical Agent instead of traditional Subject to avoid controversy over the identification and position of subject and object in Chinese, which is topic-prominent rather than subject-oriented (For an overview of the situation, see Yip and Rimmington op. cit.:7-8). But for convenience' sake we have retained Object instead of using terms such as Goal or Patient. All this is in preparation for the examples to be viewed in terms of the more fundamental contrast of VO:OV ordering, covering both active and passive patterns, in both English and Chinese.[2] In the analysis we have also noted:

a) Word order as a linguistic bearer (the elements that serve to shape the linguistic being of a text): One of its options, A-V-O, is common to both Chinese and English as a basic pattern of transitivity.

In Chinese, though, there are *partially* reversed groupings such as A-O-V (4-6) and O-A-V (7-10), which have more to do with semantics than with grammar. Yet this shows that the A-V combination with a freer object remains the core pattern of the material process in Chinese even in passive clauses, while in English the fixed O-V-A pattern is the institutionalized passive. (For a detailed observation of the supramorphological referentiality of the position of the noun object in relation to the verb in a Chinese sentence, ie V-O:O-V, see Yip and Rimmington op. cit.; for a more general survey of O-V:V-O typology of languages, see Dryer 1991; a discussion of the relation between meaning and word order can be found in Li and Thompson 1981, sec. 2.4.2, esp. pp. 23 and 26.)

A function word (fw) in English sometimes can be no more than a 'filler' of a 'syntactic slot', (eg *the* in *in the search for* as against *in search of*). But more often it has a double role to play: to help carry a cognitive and/or attitudinal message as well as perform a syntactic function (eg *moving house* versus *moving the house*). This can be sufficiently demonstrated through comparing the counterparts of English function words in other language(s) and as such is significant in translation. Function words in Chinese, less used though they seem to be, have to play a double role nearly all the time.

b) Most cognitive information is carried by words with independent content meaning (denotation), ie content words, which, as the information carrier, are intended to give an utterance its locutionary sense when they take their syntactic positions as A(gent), V(erb) and O(bject). Auxiliary carriers can be those function words suggesting, for example, logical and interpersonal functions.

c) Stylistic markers do not perform conspicuously in these basic patterns, but the clauses have already enabled us to see a significant difference between English and Chinese in creating an effect. In English this is mostly done through the placing of intonational accent on certain words while marked syntactic patterns such as cleft sentences (eg *It is* a computer *that* we need) are used to carry much greater discoursal weight. In Chinese, however, word order as we have seen is a primary device, while the role of intonation is much limited by the rigid four-tone system. For instance, among the above clauses, the partially reversed A-O-V (4-6) is stronger than the ordinary A-V-O (1-3), and the fully reversed O-A-V (7-10) is the strongest. Passive clauses in Chinese (eg (9) and (10)), less often resorted to, are stronger in tone (passiveness) than their English counterparts. It is worth pointing out that the latent stylistic power of word order in such basic patterns, as we will show, can be brought into much fuller play in a discourse elaborated by means of, say, modification. And Li (1991:20-21) has even noticed that difference in word order can be so significant as to constitute a major distinction between a prose version and a free verse rendition of Shakespeare's *Romeo and Juliet* in Chinese.

2.1.2 Modification

Among the different logical elaborations of a basic transitivity pattern in text, eg modification, apposition, repetition, ellipsis, conjunction and co-ordination, substantival modification (that is, by using adjectives, adverbs and/or adjuncts to modify a noun participant, an action or a transitivity process) and determination (that is, by using endophoric

demonstratives or personal possessives) are the two elaborations operating on the ideational content in creating text. This will be one of our main topics in this chapter, with the concept of modification expanded to accommodate determination. So a determiner, in our sense, will be treated as a kind of modifier. Other elaborations, such as repetition, apposition and ellipsis which draw on the reader's memory for their ideational sense, and conjunction and co-ordination (including parallelism and antithesis) which play upon textual features to elaborate ideational meaning, are more interpersonally or textually significant and will be dealt with in later chapters.

But it is necessary to point out here that our stance on modification does not stretch as far as that in some dependency theories, such as Hudson's (1984) which regards, for instance, subject and object as modifiers of the verb head. Instead, we leave this area open as flexible combinations of A(gent), V(erb) and O(bject) to accommodate interlingual comparisons for translation purpose. In the light of this, we are able to say that sentence patterns as such, when extended by modifiers, provide more semantic room for the analysis of the three principal categories: linguistic bearer, information carrier and stylistic marker in a text, and their significance in translation. What we need to do is, in a rather traditional vein, classify modifiers into two basic groups:

Att-modifier: adjectives and attributive phrases/clauses;

Adv-modifier: adverbs, adverbial, and adverbial phrases/clauses.

Modifiers are more significant as information carriers and stylistic markers than syntactic bearers since grammatically they are more

frequently optional than elements such as Agent, Verb and Object. Modification in text usually takes the form of Modifier-Head combination, the sequential ordering being more flexible in English than in Chinese. Agent and Object normally take on Att-modifiers and Verb Adv-modifiers; thus in English we find Att-Head-Att and Adv-Head-Adv, and in Chinese Att-Head and Adv-Head(-Adv) respectively. But both Att- and Adv-modifiers in turn can have their Adv-modifiers and become the Head on a lower rank.

The fact that translation involves a lot of readjustments of the position of modifiers obviously calls for an awareness of the original's arrangements of modifiers as information carriers and stylistic markers, as these features have much to do with the positioning of modifiers along the kernel linear patterns.

A grammatically possible slot for a modifier in a sentence pattern does not always mean that it is a textually acceptable or feasible position for one. Discoursal appropriateness in this connection can sometimes override grammatical allowability and world truth. For instance:

[2.1]

> Do not allow children - up to age five at least - out alone on the road. Go with them, walk between them and the traffic and *always keep tight hold of their hands*,....
>
> (The Highway Code 1987:5, my emphasis.)

In 'always keep tight hold of their hands' we have an Adv-modifier and two Att-modifiers, which carry compulsory information to guide the receiver's action - When (Adv: 'always'), What kind (Att: 'tight') and

Whose (Att: 'their'). But no further description or modification of *hands* in terms of 'what kind' is textually (ie in terms of discourse development) permissible. though it is grammatically possible and could be cognitively acceptable. To modify *hands* by specifying any potential detail (eg *tiny*) would create a new. distracting information focus. slacken the control of the information presentation, and render the utterance out of keeping with the perlocutionary intention and the generic convention because of the attitudinal focus implied in the modification. In other words, the notion of *hands* here is treated as an undescribed prototype, and should remain so in a prospective translation into Chinese.

The capability of a modifier to create a new information focus, on the other hand, is much exploited in literary texts, which can give rise to new problems as perlocutionary intentions in literary texts may be profound or elusive. An interesting illustration can be found in *smoky/smokily* in the following three passages.

[2.2]

> Crippled for ever, knowing he could never have any children, Clifford came home to the smoky Midlands to keep the Chatterley name alive while he could.
>
> (D. H. Lawrence *Lady Chatterley's Lover*, ch.1)

[2.3]

> Outside, the fire-red, gas-blue, ghost-green signs shone smokily through the tranquil rain.
>
> (F. S. Fitzgerald 'Babylon Revisited')

[2.4]

> Ahead, expanse of smoky waves lies / Beneath the pressing haze / Spanned by the vast Southern Skies.
>
> (Liu Yong 'Farewell', Appendix I)

The Att-modifier *smoky* in [2.2] serves to project a panoramic view of the Midland area of England. Put back in its historical context, the word would be an anachronism as a bearer of the same negative associations towards industrial pollution as it tends to have nowadays. On the contrary, it might even be seen as an ode to the rising industrial strength, in contrast to the decline of aristocratic power and wealth; the latter has found expression in the crippled, impotent and alienated figure of Clifford.

Different from [2.2], the Adv-modifier *smokily* in [2.3] draws the reader's attention to one more microscopic detail in this sentence already laden with Att-modifiers. As Tannen (1989:135-138, 140, 143) points out, the three stages of detail - image - scene in narrative text are an effective strategy to secure reader involvement. The description in [2.2] certainly puts the reader in the picture. But it takes a sensitive reading of the whole story before one can grasp the deeper meaning of the design. Do those colour images not stand for a colourful confusion in the life of Charlie, the protagonist? Is 'smokiness' against the tranquillity of the rain not a premonition of the uncertainty in his visit to his brother-in-law's to see his young daughter? All these are significant for translation.

The Chinese original of *smoky waves* in [2.4] is 'yanbo', a banal image in Chinese classical poetry. But placed between a sentimental traveller and a vast inapprehensible sky (As *tian* [sky, heaven], in

ancient Chinese belief, governs human destiny), the image requires a new reading for translation, for it betrays a sense of uncertainty about the future and a sting of despondency, as it does in [2.3] and [2.2] respectively. This reading is confirmed in the second stanza of the poem:

- Where will I find myself, soon,
When my night drunkenness is gone?
With a setting moon
Chilled in the breeze of dawn,
On the banks, weeping willows forlorn.

(My translation)

Now let us embark upon the translation of the word *smoky(ly)* into Chinese. For [2.2] I would suggest *yanwu-zhengteng de Yinggelan zhongbu* ('smoke-steaming middle England') as against other options such as *yanwu-xuntian*, which sounds like 'sky:high-smog', and *yanwu-liaorao* ('smoke-curling'), which lacks masculinity (in the sense of contrasting with Clifford's impotence) and is too languid. As for [2.3], something like *ruyanruwu de zhaozhe* ('like:smoke:like:fog shining') would hopefully evoke in a Chinese reader that tinge of uncertainty and transience.

Since Chinese is still thought by some to be not quite able to bear the load of a string of modifiers such as '(Adv-)Att, (Adv-)Att, ... Head', (More than two would come under suspicion of translationese.) a translator of [2.3] might pack the modifiers into one or two of those versatile and general ready-made four-character phrases abundant in Chinese. In this case, for instance, *fire-red, gas-blue, ghost-green* into

'guangguailuli (grotesque and bizarre)' in Qian's (1981) version. But an SL text would not come out of that treatment unscathed if it had a deeper layer of meaning, and 'huohong, youlan, canlü (fire-red, gloomy-blue, ghost-green)' adapted from Weng's (1981) translation would do better in securing the desired perlocutionary effect by dropping a hint as to Charlie's burning and haunting memory of his past as he sees it in those neon signs.

[2.5] below provides a more difficult case to translate into Chinese, which contains a complex group of modifiers, that is, Att-, Adv-Att Head.

[2.5]

Her *plump, stickily glistening* lips smiled.

(Vladimir Nabokov cited in Tufte 1971:71)

A Chinese version prefers some textually altered renderings that back-translated into English would read as:

[2.5 i]

Her plump, sticky lips smiled glisteningly.

[2.5 ii]

She smiled, her plump, sticky lips glistening.

[2.5 iii]

Her plump, sticky, glistening lips smiled.

Ideationally, all carry a similar amount of information. But with textual alterations, in [2.5 iii] we lose that intimate association of dependency between 'sticky' and 'glistening', which itself is a formal enactment of

'stickiness'. As we can see, the image of *lips* in the original seems to have been projected, from *her* through heavy modification (hence detailed description and textual elaboration), in a close-up. The effect is that it is the entity of the lips, not her, that becomes the actor. In [2.5 i] *lips* is no longer presented in a textual close-up as *smiled* has taken away part of the modification and with it some of the reader's attention; and in [2.5 ii] the original's literary edge has been dulled. A translation such as [2.5 tr] below, however, could be a daring one from the viewpoint of Chinese syntactic convention:

[2.5 tr] #

> Ta na fengmande, niannide shanzheliang de shuangchun wan'er yixiao.
>
> ('That plump, stickily glistening pair of lips of hers
> smile a smile.')

The control of the unfolding process of information presentation through syntactic manoeuvre to create suspense and to manipulate the reader's response is further illustrated in [2.6]:

[2.6]

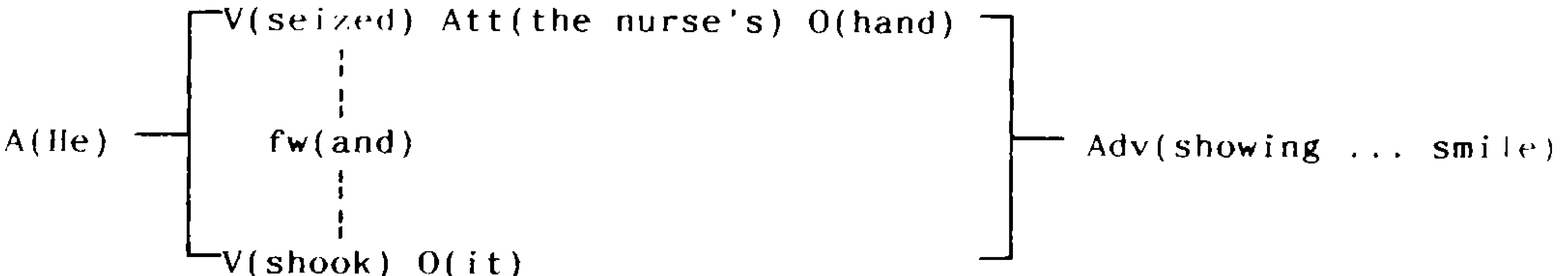
> [Ed Thatcher was a little man with two blond wisps of mustache and washedout gray eyes.] He seized the nurse's hand and shook it showing all his uneven yellow teeth in a smile.
>
> (John Dos Passos: *Manhattan Transfer*, p.6)

where the effect achieved by withholding the smile until the end of the sentence has already been analyzed by Leech and Short (1981:240-41):

> Up to the last word, the sentence reads threateningly.... The aggressive connotations of *seize*, *shook*, and *uneven teeth* interanimate one another, so that by postponing the key word *smile*, Dos Passos seems to trick the reader into a wholly negative response.

To maintain the effect in a Chinese translation of the sentence, therefore, a similar delay of the word *smile* has to be considered.

Syntactic analysis of [2.6] reveals a pattern far more complicated than previous examples:



in which the sentential Adv-modifier can be further displayed as

Att(uneven)
(A) V(showing) fw(all) Att(his) — O(teeth) Adv(in a smile).
Att(yellow)

The analysis also yields a clear-cut iconic ordering of the actions in the narrative foreground, ie *seized* and *shook*, in line with their temporal/logical sequence in the real world. This narrative order is amplified and dramatized by the concurrent backgrounded event described in the *showing*-phrase. In theory, without the constraint of sequentiality aforementioned, a backgrounded element such the *showing*-phrase can be located at any point along the time axis (cf. Hopper

1979:215) charted by *seized* and *shook*. But the actual sequence in [2.6] shows a natural process of perception by the narrator/observer: from the more dynamic, aggressive and eye-catching actions of seizing and shaking to the less noticeable one of smiling. Even in the smile, one's attention still hangs on to those unusual, aggressive teeth before one sees the smile itself, which significantly has been further backgrounded into a prepositional phrase. So the much-modified image of teeth serves to create interpersonal involvement between the author and the reader (cf. Tannen 1989:139), by which the former is about to lead the latter to an unexpected conclusion.

Thus the original has created a series of informational 'slots' expected to be filled in in a matching order in translation:

(He) seize (hand) - shake (hand) - show (teeth) - smile.

The following translation has followed the original's presentation:

[2.6 tr] #

Ta zhuazhu hushide yi-zhi shou yaozhe, luchu mankou buzhengqide huang ya weixiaozhe.

('He seized the nurse's one hand shaking (it), showed a mouthful of uneven yellow teeth smiling.')

while a less calculated version:

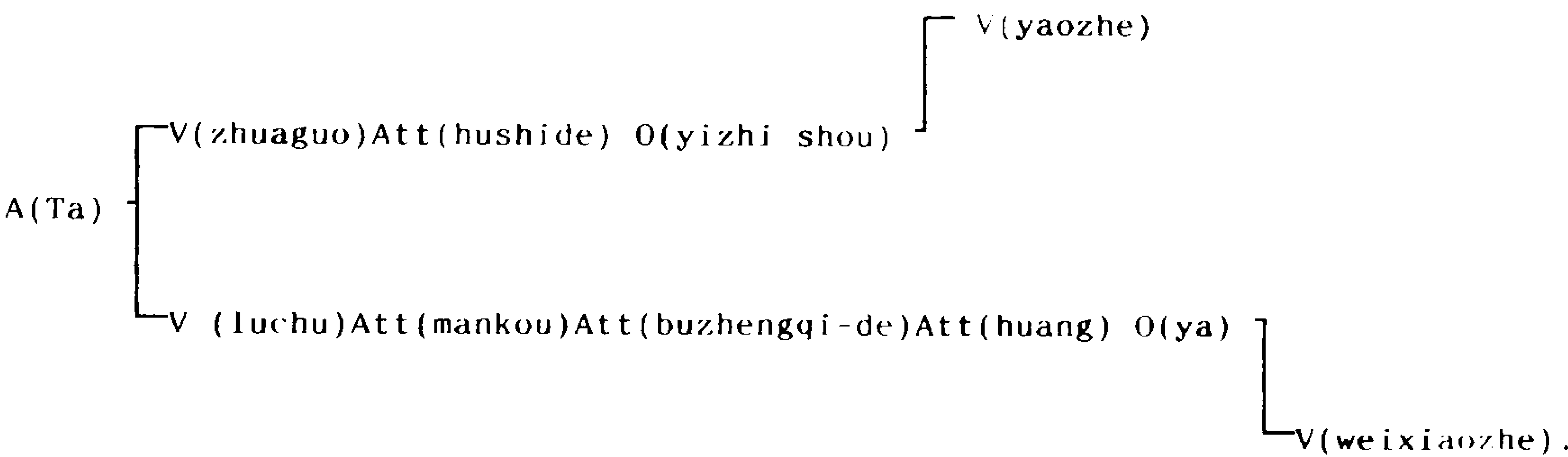
[2.6 tr.i] #

Ta zhuazhu hushide yizhi shou yaozhe, weixiaozhe, luchu mankou buzhengqide huang ya.

('He seized the nurse's one hand shaking (it), smiling, showed a mouthful of uneven yellow teeth.')

would convey quite a different impression.

Syntactically, moreover, the linguistic potential of the Chinese language has moulded [2.6 tr] in a parallel pattern which is different from the English original:



If the modifier-head combination forms a basic and conventional pattern of information unit on the sentence level in both English and Chinese, then, as we have seen, it is the sequentiality of information units as such, ie information distribution facilitated by the syntactic resources of the language in question, that determines the formation of the linguistic dimension of a SOM (which produces the interactional dynamic and the aesthetic impact in the other two dimensions) in the process of translating. For the moment though, let us look further into the relationship between the modifier and the modified.

Generally speaking, the modified, ie the head, on the sentence level, belongs to the 'narrative foreground', that is, the main line of events through which the 'plot' of narration develops.[3] The modifier belongs to the 'narrative background', performing a descriptive function to support the narration with vividness and authenticity, which creates

interactive involvement. As an information carrier, a backgrounded modifier can be more freely positioned as shown in [2.5] and its variations above, but its actual textual position contributes to information distribution. An unusually placed modifier, eg set off by punctuation, is textually foregrounded or marked, and the position itself draws the reader's attention to the news the modifier carries. The translation can greatly benefit if such a modifier is treated in a way that retains its functional merits.

For instance, an end-positioned modifier is quite unusual in Chinese, and its positioning may become a stylistic marker contributing to the third dimension of the SOM, as *dairande* and *shiluode* in [2.7], on which the emphasis of the sentence falls:

[2.7] #

Meiyouren huibo ta, ye meiyouren fuhe ta. Dajia wushengde rangchu yitiao lu, you ta chuqu, dairande, shiluode.

(Yu Lihua *Youjian Zonglü Youjian Zonglü*, ch.18)

[2.7 tr]

Nobody refuted him, yet nobody agreed with him either. They made way for him in silence as he walked away, stunned and frustrated.

Stylistic or emotional foci of a sentence can be found more often than not in the descriptive modifiers that answer the questions 'What kind of?' or 'How?'. To modify a head often means to create a potential focus of attention. Avoiding modifying a head word, on the other hand,

can be (part of) an attempt to channel the reader's attention away from the head word to a different focus in the sentence.

For instance, unlike *their hands* in [2.1], it is generically as well as grammatically allowable for *the nurse's hand* in [2.6] to take on a descriptive modifier. The fact that it does not have one can be explained in terms of a possible intention on the author's part to keep up the intensity of the heavily modified *teeth* before the full impact of the sentence is felt in the *smile*. By so doing, a perlocutionary effect is created, that is, to defeat the reader's expectation of (as Leech and Short (ibid) put it) 'a *snarl* rather than a *smile*'. It is important for a translator to be aware of the relationship between deployment of (descriptive) modifiers and distribution of information, and seek to maintain as much as possible in translating a similarly significant sequential process of information backed up by the linguistic composition of the TL SOM.

2.1.3 Function word as syntactic bearer and information carrier

The major function of adjectives and adverbs is to modify descriptively, and therefore to carry 'the news of the sentence' (Tufte op. cit.:69). As for the other two main groups of content words, i.e. nouns and verbs, they work mainly as information carriers when slotted in their positions as syntactic bearers. When we talk about the relationship between the modifier and the modified, we have in mind the logical connection of these content words in terms of their ideational meaning. To make such a connection valid, however, we have to take into account another type of word, ie the function word.

A sentence is syntactically borne up jointly by function words and content words (plus inflectional morphenes in the case of English). Cognitive information is carried mainly in content words, delineated as well as strung together by the function words. Stylistic significance is not only marked by the cultural and emotional implication of the modifying elements (eg adjectives and adverbs), but also by the sequential arrangement of the information presentation.

A simplistic classification as such needs modification itself, as overlap between the roles should not be neglected. For instance, a function word as syntactic bearer can be an information carrier when its semantic potential is taken into account, and its role in forming the linguistic being of an information presentation certainly has to be appreciated when the syntax is stylistically meaningful.

The practical significance of such a refined classification is that it provides translators with a guideline in deciding what to keep, what to drop and what to alter in translating, especially when they are dealing with the logical subtleties of function words, the cultural intricacies of content words and the enacting suggestiveness of syntactic forms. This can be illustrated by applying such an understanding to a further analysis of the translating of [2.6]:

[2.6]

He seized the nurse's hand and shook it *showing all his uneven yellow teeth in a smile.*

[2.6 tr]

Ta zhuazhu hushide yizhi shou yaozhe, luchu mankou buzhengqi-de huang ya weixiaozhe.

('He seized the nurse's one hand shaking (it), showed mouthful uneven yellow teeth smiling.')

Those lexical items whose 'meanings' are not presented in the translation are treated as 'pure syntactic bearers', elements whose usefulness normally does not extend beyond the boundary of the language in which the text is written. They are explained as follows:

The in *the nurse's hand* indicates given information (the nurse has already been present in the scene and being human she has hands); the translation would have to include the article had it been *a*, which suggests new information to follow, in this case introducing a nurse to the scene. (See sec. 3.2.1 below for the functional translation of English articles into Chinese.)

And, the purest English conjunction here functions in its purest use, simply to make a co-ordinated pattern of V-O combinations. An unmarked Chinese co-ordinated pattern, however, tends to be an asyndetic construction (see sec. 4.3.2 below).

It in *shook it*. Chinese builds up its syntax so much on logical deduction and common sense that it often leaves no room for a 'formal object' as such, so long as it is contextually or experientially inferable (see sec. 3.2.1 below). The translation, put back into English, reads like 'seize her hand to shake', though it does not carry the purposefulness suggested by the infinitive phrase in English.

His in *his ... teeth*. The possessive pronoun in this case works as a modifier referring to ownership, but as a function word it is in a position similar to that of a definite article (ie the slot available for deictic modifiers), and would not have a formal representation in a

Chinese translation unless it carried new information or re-emphasized the given information. (See sec. 3.2.1 below.)

In and *a* in *in a smile*. The ideational message of the prepositional phrase is in the word *smile*, and the phrase embodies the English conceptualization of 'smile', by way of ontological metaphor, as a substance, a container, hence an entity can appear 'in a smile' (cf. Lakoff and Johnson 1980:30-31). In Chinese, however, the message is delivered in a more straightforward manner, for instance, 'do something (and) smile', 'do something while smiling', 'smile while doing something'.

A function word with more substantial cognitive information plays a double role as an information carrier as well as a syntactic bearer. This appears to be the case of *he* and *all*, which have been held in account in the translation. The tricky part of this grey area between linguistic bearer and information carrier includes those items which are subject to a great extent to personal readings of the text, such as *his* in this case. Certainly there is the possibility that someone may (mistakenly) read an emphasis into *his* by stressing the word, and translating the phrase *showing all his uneven yellow teeth in a smile* into Chinese, by adding an idiomatic collocation *ta na* ('his that') to mark ownership, as in:

[2.6 tr.ii]

... luchu *ta na* mankou buzhengqide huang ya xiaozhe

('showed *his that* mouthful uneven yellow teeth smiled').

The lack of correspondence between function words in English and Chinese has, therefore, informational as well as syntactic implications, and may also raise stylistic questions.

2.1.4 Word choice and word order as stylistic marker

The core of the analysis of information sequentiality is that content words can perform as information carriers only when they are pigeonholed in their appropriate syntactic positions. In this sense every lexical unit by nature has to be a syntactic bearer before it can have its semantic meaning passed on as a component of the sentential information. Since it is usually not difficult to assess the grammatical status of a word in text, its semantic value becomes more significant to a translator and has to be weighed up in translating as such. In [2.6] above, for instance, *hand* has to be set against its plural form *hands*, as Chinese uses other means to tell the plural from the singular than inflectional endings. Here *hand* is translated as *one hand* (*yizhi shou*), and it would be *two hands* (*liangzhi shou*) or *the pair of hands* (*shuang shou*) had the original been plural. On the other hand *seize* has to be viewed against its semantic field membership, ranging from neutral *take* to metaphorical *claw*, in order to get to its right connotations in translation. So the choice of word, as well as that of the linear sequence in which the word appears, is not only a matter of grammatical correctness, or informational accuracy, but can be a matter of stylistic compatibility between the SL and the TL texts. Here the word chosen stands as a stylistic marker.

If a translation aims solely at the conveyance of factual truth, a great variety of versions can be viable candidates so long as they contain a similar chunk of information to that in the original. This is where paraphrase finds its place.

[2.5 i], [2.5 ii] and [2.5 iii] above provide an example. And simply by regrouping the four actions in [2.6], ie seizing, shaking, showing

and smiling, on the sentence level (which is grammatically possible) we are able to turn out a number of variations, let alone paraphrasing on the word level. Translation studies as a subject can never justify the academic attention it claims if the practice remains merely empirical, intuitive or even impressionistic. Therefore in translating we have to look for more specific elements, something unique to the original text, as further determinants to narrow down the choices to an assessable extent. These elements function as stylistic markers, the textual properties that distinguish a text from others telling basically the same story. In this connection the writer's intention is not as significant as the actual perlocutionary effect the textuality of a SOM has created on the reader.

Let us return to [2.6] once more, whose stylistic features and effect, elucidated by Leech and Short (1981:240-41), are as follows:

a. the connection between the handshaking and the smile 'is forced by juxtaposition and reinforced by alliteration: "*sh*ook ... *sh*owing"';

b. 'the delay of the smile to the end';

c. and the effect is that 'the aggressive connotations of *seize*, *shook*, and *uneven teeth*' nearly 'trick the reader into a wholly negative response'.

The question is: Does [2.6 tr] do justice to the original analyzed as such? Let us look at it once more.

[2.6 tr]

Ta zhuazhu hushide yizhi shou yaozhe, luchu mankou buzhengqi-de huang ya weixiaozhe.

The answer is:

a. We have to give up the reinforcing alliteration of *shook* and *showing*, as it is so embedded in the phonological mechanism of the source language. Its place, however, is taken by an echoing pair of *yaozhe* (*shaking*) and *weixiaozhe* (*smiling*), both of which contain glides, in a more parallel syntax.

b. The syntactic structure has been altered in the interest of the Chinese text, but the *smile* is delayed to the end in a similar way.

c. The aggressive connotations of these words persist in their Chinese counterparts; they 'interanimate one another' as the English original does. With the delay of the *smile*, the same trick has been played, hopefully, on the TL reader.

No matter how grammatically and logically complicated a sentence may be, it has to take the form of a linear sequence when put on the page. Such a sequence, on the one hand, is the product of the organization of information and the application of linguistic resources by the SL author with some more or less definite communicative purpose in mind; on the other hand, it is a linear process of the presentation of the constituent units of information, the only physically possible means of communication in writing. Technically such a textual process may have little to do with the process taking place in the real world, be it chronological or simultaneous. In reading a textual process, however, there is a parallel, structural processing of information going on in the reader's mind, which will reorganize the information to fit real-world schemata.

But the comprehension of the factual information and the appreciation of the stylistic feats of a text cannot take place until both processes have progressed to a satisfactory end, eg the end of a

sentence, a paragraph, a text, or a speech act. Reading a translation is a repetition of this joint process in the TL environment. Like the SL author, the translator is responsible for the material basis of the TL communication, ie the representation of the information in as pragmatically and stylistically effective a manner as the original. In translation, as we have been arguing, it is the linear presentation embodied in the linguistic composition of a SOM, rather than the grammatical formation which can vary from language to language, that is pragmatically and stylistically significant, and that should be a major concern of the translator.

So far as the translator is concerned, the consideration of stylistic markers would practically narrow down the textual choice of word order to a most desirable one as translation candidate. The room left for negotiation would be more on the paradigmatic axis, that is, choice of word, which at this stage depends greatly on the translator's personal reading of the text. Anyway the choice of word in translation, to a great extent, reflects the perlocutionary effect a text has on the translator as a person. This, I am afraid, is the only privacy of the translator from which translation theory would shy away.

The privacy provides a ground for the translator's creativity to blossom. Since creativity is quite a personal matter, it has seldom been studied to furnish a translation theory, though much of it has been used to justify the diversity of versions in the practice of translation. Creativity displayed in a translating process can actually be interpreted as the joint result of a stylistic reading of the message presented in the SL text and an original (not necessarily extraordinary or deviant) use of the target language to bear out such a reading. What translation theory can do at this juncture is not to govern the translator's choice.

but to improve his/her awareness of choice, so he/she can be more discerning, responsive and responsible.

2.2. WORD AND WORD CHOICE

The grammatical potential of a language, when actualized in word order, as we have seen, can be a powerful textual apparatus to organize information for stylistic presentation. Grammar, in this sense, gives style its organization. For it reflects not only the general process of cognition and perception of the world by the users of that language as a whole, but in actual use it also reflects a particular process of feeling about and representation of the world by a particular user of the language who has been activated by a particular situation. But as the linguistic dimension of the SOM, the syntactic patterns for information organization are generally more definite, and their occurrence in a certain context more predictable than the interactional and the aesthetic dimensions. As a more mechanically-oriented aspect of translation, this is an area where Machine Translation at the present development of technology stands a chance, given a limited vocabulary and subject matter, for instance, in the case of weather forecasting (but certainly not yet the conversational-style weather programme on, say, British television).

Translation reveals one of its greatest challenges when we come to the issue of word choice. Each lexical word is a cross-section of the culture (institutionalized ways of seeing/doing things) it belongs to, a passage into history, and a world live with momentum for development in actual use. Communication will break down if the receiver fails to

derive relevant information from the words in a text. The network woven of words, the vocabulary, is a linguistic corollary of centuries of human effort in capturing and depicting the world in a more organized, thus more comprehensible, communicable, and recordable manner by using the language. This stimulates as well as equips us for fresh attempts to further our understanding of the world. Translation is one such attempt by cross-fertilizing our understanding to make it more comprehensive. The justification of the possibility and necessity of the study of such a human endeavour lies, first of all, in a study of cross-cultural and interlingual word choice, as 'every language divides up the world, or reality, in its own way' (Lyons 1981:68).

Systemic grammar has brought the attention of the translator up to the level of sentence and more recently, developments in systemic-functional approaches (eg Halliday 1985), along with the growth of text linguistics, have directed the study of translation to the level of whole texts. However, if one goes so far as to conceive that one can and even should intuitively take a whole sentence or text in one go in order to produce a healthy translation, one is still not doing justice to the two great developments in modern linguistics. An analysis on the sentence level should be adequate to alert a translator to the syntactic ordering of words and especially the roles played by function words in making possible such an ordering. Text/discourse analysis, on the one hand, broadens translators' horizons to take in the overall textual strategy of the SL text; on the other hand, it should draw their attention to different connections between segments of the text. For the cohesion and coherence of a text may well hinge on the interpretation of a single word; in this respect lexical motifs can be a good example (Zhu 1986). And a word as humble as an article can frequently play a decisive role

in determining the distinction between such elements as Theme and Rheme, which in a more sophisticated, or 'scientific' rendering certainly deserve special attention.

Neither sentence nor text, therefore, may provide a springboard for a translator to skip over the realistic concern of the meaning in a lexical word. And the Chinese experience with translation early this century, when there was a heated debate over how to translate 'names', ie terminology/nomenclature (eg Rong Tinggong 1914/1984, Zhang Shizhao 1914/1984, and Zhu Ziqing 1919/1984) indicates that a culture's translation practice, especially in its infancy, is apt to be engaged first of all in finding or standardizing translations of foreign words, nouns in particular, before it can devote its consideration to issues on higher levels such as sentence and text.

2.2.1. The Chinese word defined

To lay the foundations for further analysis, we have to give a clearer description of the concept of *word* in Chinese in relation to the unit of *character*.

Generally word formation in Chinese does not lend itself to a clear-cut classification of *morpheme* (free or bound) and *word* as that in English (see, for example, McCarthy 1991b:314). If the morpheme is regarded as 'the smallest meaningful unit [which] cannot be divided into smaller meaningful units' (Coulthard 1985:121) in English, its Chinese counterpart then seems to be the constituent radical in a character, which itself is quite often a basic character. Radicals in Chinese characters play two roles: the signific indicates the meaning while the

phonetic suggests (but does not stand for) the sound and frequently contributes to the meaning as well (cf. Lin 1972:5 and Graham 1965:17). Yet going one step higher, we find that *character* is not automatically the equivalent of *word* in English.

Some characters, lacking independent meaning, have to find their significance in a combination, eg *kongtong* (倥侗, ignorant), *cuotuo* (蹉跎, [of time] wasted) and *zhangfu* (丈夫 , husband), of which the constituent characters do not have an independent meaning. Characters with independent meaning are able to stand as a word in their own right or to join others in forming a word which usually takes the form of syntactic compound and the joint meaning of the compound word normally has more precise semantic bounds than its constituent words taken individually. Here we may draw an analogy between morpheme and character and classify characters in Chinese as bound and free characters. So the word as 'the minimal free form' (Coulthard op. cit.:125) holds in Chinese as well as in English, to make it convenient at least for the purpose of translation studies.

Lin (1972:6) has noted an important role played by the sound mechanism in Chinese word-formation, such as alliteration, rhyme, reduplication and onomatopoeia. This, with the graphic feature of Chinese characters, accounts significantly for the aesthetic impact of Chinese textualization, to which we will return under the topic of sound and shape. Here we have to be content with a list of logical, or syntactic formations which combine free characters into a compound word:

(1) Agent + Verb, e.g. *minzhu* ('people:decide': democracy);

(2) Verb + Object, e.g. *aiguo* ('love:country': patriotism);

(3) Binomials: (3i) antithesis, e.g. *tiandi* ('heaven:earth': universe, world), (3ii) tautology, e.g. *fengdian* ('mad:insane': mad);

(4) Modifier + Modified, e.g. *dajie* ('big:street': main street).

Of these (4) is the most significant one since in its nature as an endocentric compound, it gives access to the most fundamental semantic components of a word, as words of any type, when componentially analyzed, can virtually yield to a Modifier-Modified dissection (in that components at increasingly delicate levels may be compared to the modification process).

One-character words are abundant in Classical Chinese (*wenyan*). And because a single character as a word could potentially embody too many meanings to ensure an unambiguous conveyance of ideas, the incompatibility between Classical Chinese and new, or foreign, ideas was acute when Chinese society was first opened on a full scale to Western influence in the late nineteenth century. It is not surprising that mediators between the two cultures would find that:

> the Chinese language was a singularly intractable medium for the expression of their ideas. Many felt that the language, by its nature and structure, inevitably distorted or deformed the foreign ideas expressed in it.
>
> (Wright 1953:286)

Wright (op. cit.:296) correctly identified the cause to be 'a wide range of meanings accumulated through the centuries' in the individual characters and hence predicted an improvement of the situation with 'the development of a literate but classically uneducated public'. Yet one

should not neglect the fact that the fast growth of multi-character words in Modern Chinese, on the other hand, has also helped greatly to ease the confusion caused by unintended connotations in separate characters. Wright (op. cit.:294) has illustrated 'a very real weakness in the Chinese language ... namely, the variety of alternate meanings of a character', such as the ambiguity of *quan* used for both 'powers' and 'rights'. The distinction, however, is clearer in Modern Chinese between *quanli* (权力) and *quanli* (权利); in both of them *quan* reduces to a most basic meaning of 'entitlement' and it is the *li* (力 , force, power) and another *li* (利 , benefit, right) that stand respectively for the real referential meanings.

In Chinese and English alike, the linguistic composition of a word, as a basic material unit of text, is significant in translation only when it makes sense in the context. The development of the lexical meaning of a word, generally speaking, can be described (but not demarcated) as an area centred on its most elementary denotative meaning, with radiating chains of connotation, which are determined greatly by the imagination and logical thinking of language users as community and as individuals. This is a dynamic evolution full of movements in various directions. Some of the movements form a centripetal tendency of institutionalizing connotative meaning into part of denotative meaning and becoming a potential centre for further connotative development ('atomization' of meaning). This, as Hatim and Mason (1990:112) put it, in commenting on Barthes' signifying model, is 'the sum total of signifier and signified', which can itself in turn 'function as a signifier for a new signified'. That is to say, in each instantial use of a word there can be a centrifugal drive to break away from the conventional core meaning in order to accommodate new information (the 'deatomization'

tendency). It is such innovative use of a word in a particular context that stretches the associational radius of its meaning area, and contributes to the foundation of the third, aesthetic dimension of a text, because a figurative extension of word meaning of this nature, striking and original, is likely to betray a kind of emotional speculation or aesthetic pursuit in its intended sense. Probably it is in this sense that Newmark suggests (1981:146):

> Where the target language has a number of synonyms to express the sense of a source language word, the translator should choose the word he considers stylistically most fitting (congruent, *adéquat*) rather than the word that most obviously translates the source language word.

During the course of these busy movements, however, there are various uncertainties which make a translator's job more complicated in tracking down the semantic value of a lexeme.

Firstly, between two languages there are frequently semantic gaps caused by perceptional and cultural discrepancies and blocking the channels of communication especially when it is conducted through a metaphor. Secondly, the institutionalization of connotative value defies accurate quantification, leaving much room for intuitive interpretation in the process of translation. (Slang words, for instance, 'have to have their meaning and connotations re-evaluated and revalued every 6 months', as advocated by Newmark (1981:95)). Last but not least, the innovative value in an original use of a word can be random, personal, cultural, historical, or even momentary, much depending on what a

reader may read into or out of it. Consider that famous line invented by Chomsky:

[2.8]

Colourless green ideas sleep furiously

which is deemed nonsensical just because the words' lexical meanings are logically incompatible with each other as the line stands without contextual or generic background. However, if approached 'in a way that was not intended' as Newmark has done (op. cit.:145), 'green ideas' can be 'unformed ideas', an analogue of 'a green hand'. Other unintended readings of the phrase can be justified, say, by Dylan Thomas's 'green breeze' (*Under Milk Wood*, p.48). Dylan Thomas's 'savagely Jack Black sleeps' (op. cit.:7) even licenses 'sleep furiously'. So the nonsensicality narrows down to the incompatibility between 'colourless' and 'green', and between 'ideas' and 'sleep'. But the whole sentence can still be 'meaningful' in a poetic reading with some spatial adjustment suggested by Bassnett-McGuire:

[2.8 i]

Colourless
green ideas
sleep

furiously

of which:

The meaning, therefore, would not be *content bound*, but would be *sign bound*, in that both the individual words and the association of ideas would accumulate meaning as the poem is read.

(Bassnett-McGuire 1980:102)

All these uncertainties account, on this elementary level of word, for the fact that no translation can claim to be the only, final rendition of the original.

Strictly speaking, words as textual units are comparable between languages, but not adequately translatable except in cases of very specific terms. So they are incomplete as units of translation. A word out of context presents only a two-dimensional meaning area centred on its core meaning, whose value is determined by the product of linguistic value (eg sound, length, formation) and etymological value (eg Latinate, Anglo-Saxon in English; classical, vernacular in Chinese) on the one hand, and non-contextual lexical value (ie denotative meaning and institutionalized connotative meaning) on the other. Hence, of a word:

(Linguistic value + etymological value) x non-contextual lexical value = meaning area.

A word can only be adequately translated when it acquires a third dimension, ie context-determined pragmatic value or pragmatic force (see Candlin 1981; McCarthy 1988), which has a lot to do with innovative value on each occasion of communicative performance. Hence, of a word:

meaning area x context-determined pragmatic value = (textual) semantic value.

At this stage a word becomes a semiotic unit, translatable as a three dimensional part of a SOM on a higher level, eg that of sentence. So as we can see, the pragmatic value is only a potential property when a word is viewed on its own terms, and for the discussion at the word level, the componential analysis has to be conducted on the meaning area of a word, before we enter the second and the third dimensions by examining a word in its context.

2.2.2 Componential analysis: modification within a word

Although it is beyond the scope of this study to dwell on how Chinese characters attract each other in forming a new word in comparison with word-formation in the English language, it is useful for us to illustrate in this section how a translator can benefit from a Modifier-Modified componential analysis of some words in one language which could be translation puzzles in the other. 'Word' here is used in its 'unstretched' ordinary sense, or as Hudson (1984:89) chooses to call it, 'the layman's sense', since what we are concerned with is the world perceived through the looking-glass of an operative word and how it would or could be transferred into another language.

In Chinese, when two or more characters are juxtaposed to form a compound, a typical compositional relationship is that of modification. This logical relation is present as well in a single-character word whose meaning can be readily defined in terms of 'modifier + superordinate

head' (endocentricity). Even in some parallel formations modification can be found at a deeper, cognitive level. If a word is taken as an outcome of a culture-conditioned perception and recognition of a certain fraction of the world (an idea, object, event, phenomenon, etc), a mine of cultural messages can be retrievable in the grouping of characters into a word in Chinese. To illustrate the point, let us consider the word *guojia* ('state:family', *jia* etymologically referring to the noble families). Even in the modern use of the word, there are traces of cultural orientation such as:

(1) there is a symbiotic relation between country and family (structural parallelism);

(2) country comes before family in importance (sequential priority);

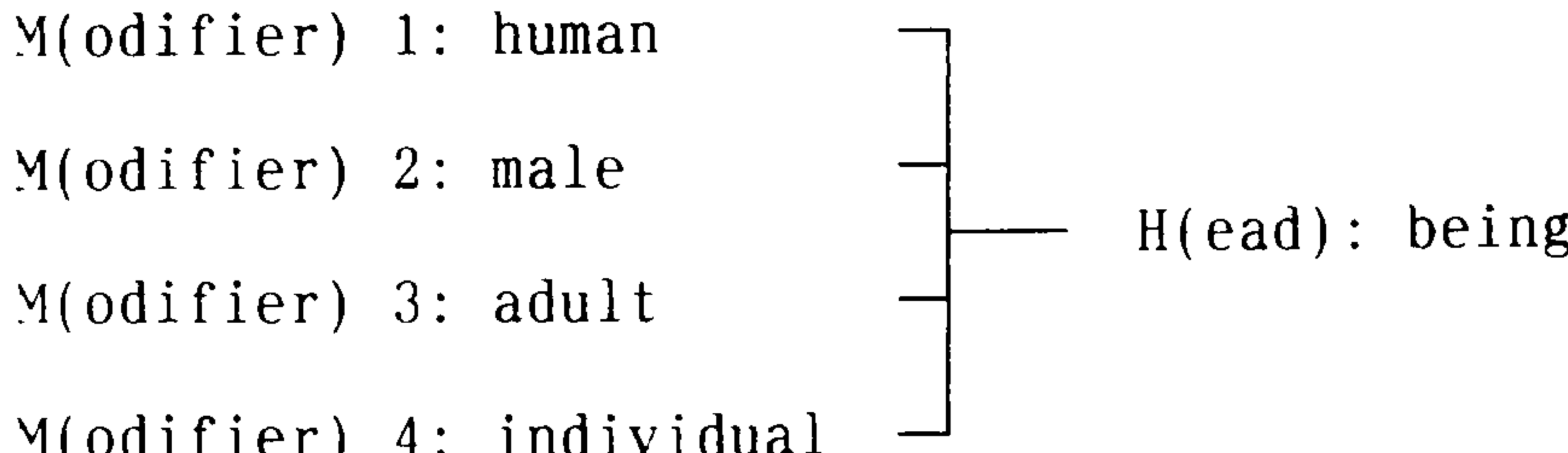
(3) a country is an extended family structure and should be run like a family (the modifier and the modified).

(3) certainly is a legacy of the Confucianistic ideal of harmony between government, family and individual. The familial notion in the word should be distinguished from the cultural message in *home country* or *homeland* in English, which is either geographical or emotional, or both. Such a political overtone indicates that 'guojia' has to be contextually translated into English as different notions such as *country*, *state*, *power*, or even *government*.

The analysis so far is not componential analysis in its conventional sense, but the cultural concern expressed in it is of great import, as the goal of componential analysis in translation is to find cross-cultural overlaps of two word meaning areas in deciding upon, or

creating, a valid rendition in translating, especially when there is a semantic gap between the source language and the target language. Moreover, the cultural information in the 'modifier-modified' relation lies more in the cognitive makeup of a Chinese word than in its surface pattern of formation, and can thus be subtle, elusive, and hidden from an untrained eye. The significance of the cultural implication for translation, none the less, can sometimes work as the touchstone for the validity of a candidate version as well as a bond between the denotative meaning and the connotative potential of a word.

This is the point of departure for our componential analysis, which offers a pattern of 'modifier + modified' and retains the concept of semantic contrast for the comparison between the word in question and its supposed translation(s). Usually, in this pattern, which may take different forms in the morphology of a word, the modified component (the Head) is a term of higher generality, being specified by the modifying component(s) in constructing a new word of more definite meaning area. It works by way of 'subordinate = modifier(s) + superordinate'. For instance, 'MAN = individual + adult + male + human + being', or in list form:



where the Head *being* is the superordinate of an extremely extensive meaning area, and in descending order of generality, is specified by four modifiers, among which Modifier 1 has the closest, thus strongest,

semantic relation with the Head, as its position is not exchangeable with any of the others (cf. Katz and Fodor 1963).

In the Chinese word 'nanren' (man), however, we see a pattern as follows:

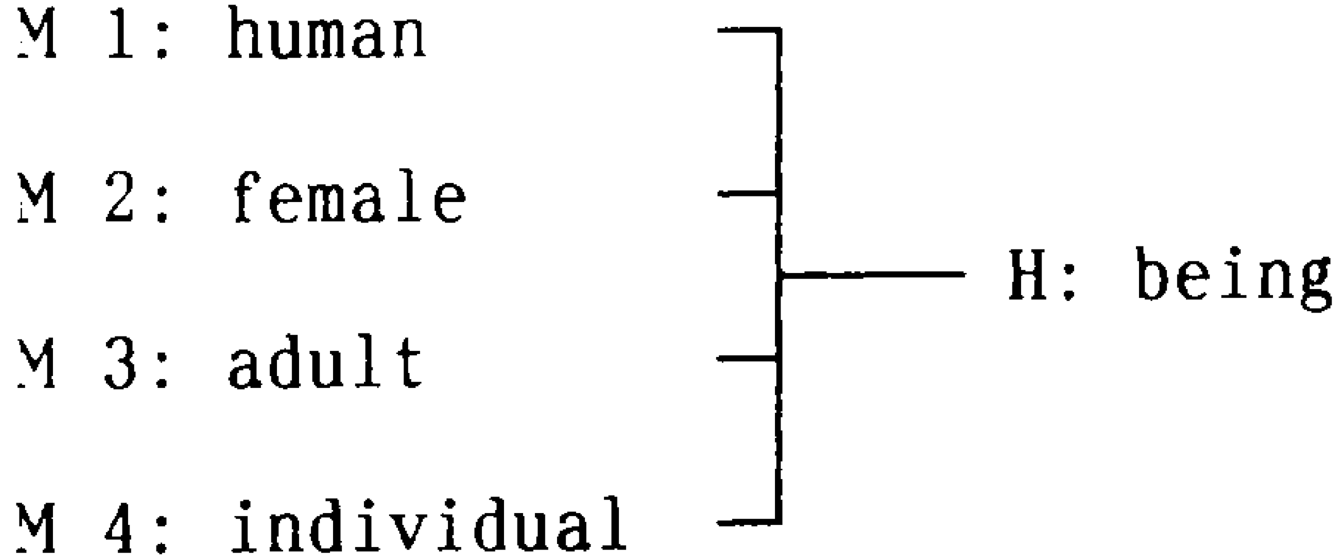
NANREN:

M 1: chengnian (adult)
M 2: nanxing (male) — H: ren (human being)
(M 3: dange (individual))

where 'human' joins the head (which contains modification on a lower level), and 'individual' becomes optional since the word, as most nouns in Chinese, can be taken as plural in certain contexts despite the existence of a more definite plural form *nanrenmen*.

Similar patterns are seen in 'woman' and 'nüren' (woman):

WOMAN:



NÜREN:

M 1: chengnian (adult)
M 2: nüxing (female) — H: ren (human being).
(M 3: dange (individual))

Looking through these patterns into the deeper relations between the Modifiers and the Head, however, we find an interesting phenomenon in the evolution of the meaning of a word, which is of great import in our investigation of meaning area in translation.

As we can see, HUMAN is an essential component in all these words, English and Chinese alike; so are both gender markers (MALE and FEMALE) in the Chinese group. While in English, FEMALE is compulsory in *woman*, but MALE is less so in *man*. And when MALE is missing from the components of *man*, away with it may go the components ADULT and INDIVIDUAL, hence the meaning of *man* will ascend on the scale of generality to be on the same footing with *human beings*, standing for 'human race in general' in its institutionalized connotative sense.

The analysis shows that between English and Chinese, the meaning areas of *woman* and *nüren* have greater overlap than those of *man* and *nanren*. However, overlap in meaning area can only count as one of the parameters in estimating the compatibility between corresponding words in the languages in translation. As we have asserted above, valid translating can take place only between two three-dimensional SOMs on an appropriate level.

The analysis also indicates that the movements in the meaning area of a word from the core meaning to a connotative meaning or vice versa, are actually processes of shedding some components and/or acquiring others. A moderate movement usually involves change(s) in the modifying elements, as in the case of *man*: from MALE and ADULT to REGARDLESS OF SEX AND AGE, from INDIVIDUAL to COLLECTIVE. A bolder movement, as in some metaphorical uses of words, can mean the alteration of the Head, eg from *mouse* (a kind of ANIMAL) to *mouse* (a kind of DEVICE as computer accessory). The view of the mechanism in word meaning development as such is to enable the translator to focus attention on the information underlined by the loss or acquisition of a particular component at the outset of a translating process.

Returning to the component HUMAN, as we have observed, it is essential in the meaning areas of *man, woman, nanren* and *nüren.* It is, however, not so essential in *boy* and *girl* in English (cf. Lyons 1981:83), as illustrated by the fact that *boy* and *girl* have greater connotative potential and are apt to refer to non-human animals in certain situations. This can create a translation problem, since in *nanhai* and *nühai*, their legitimate counterparts in Chinese, HUMAN is essential. The difficulty is highlighted in the following passage by some literary considerations such as contrast between *boy* and *girl* on the one hand, and *dog* and *bitch* on the other.

[2.9]

> 'Is it a boy or a girl?' she asked delicately.
>
> 'That dog? That dog's a boy.'
>
> 'It's a bitch,' said Tom decisively. 'Here is your money. Go and buy ten more dogs with it.'
>
> (F.S. Fitzgerald *The Great Gatsby*, Ch.II)

Characterization in the dialogue balances on the tension between the different ways the interlocutors call the puppy: the illocutionary attitude (towards the addressee) and the consequential perlocutionary effect (on the reader) in Tom Buchanan's *bitch* is underpinned by the seller's neutral word *dog* and Buchanan's mistress, the childless Mrs Wilson's 'delicate' *boy* and *girl*. To give a similar textual hint as to the speakers' attitudes in a Chinese translation, we have to find for *boy* and *girl* words which possess the HUMAN component in their core meanings but the component should be flexible enough to differentiate the words from human-dedicated *nanhai* and *nühai* as well as from prime

formal terms such as *xiongde* (male) and *cide* (female). The word with a similar peripheral connotative potential is likely to be *war* (child, kid), whose HUMAN component is loose enough to allow it to be joined by, say, *zhu* (pig) as in *zhuwar*, an affectionate term for 'piglet'. The semantic gaps left by the gender markers can be filled by colloquial *gongde* (male) and *mude* (female) as in the following proposed translation of 'Is it a boy or a girl?':

[2.9 tr] #

'Zhe war shi gongde hai shi mude?'

('Is this kid a male or female?')

Incompatibility in a word's componential makeup can sometimes cause an almost impassable hurdle in translation. A notorious example is the translation of kinship terms from English into Chinese. Generally speaking these terms are less specified in English than in Chinese, that is, they contain fewer modifying components.

In Chinese there is no ready equivalent of *brother* as 'male sibling' and *sister* as 'female sibling', because their definitions fall within PARENTAL ORIGIN and SEX parameters only, whereas their closest Chinese counterparts require one more componential parameter of AGE:

xiong/gege = older, male sibling,

di/didi = younger, male sibling;

zi/jiejie = older, female sibling,

mei/meimei = younger, female sibling.

It is interesting as well to note that the Indonesian counterparts of *brother* and *sister*, as observed by Raffel (1988:8), are androgynous but AGE related. Hence it is 'linguistically impossible' to ask 'Do you have a brother/sister?' in Indonesian as well as in Chinese, but for different reasons. The elaborate Chinese familial pattern has found it very difficult in translation to pigeonhole an English kinship relation into its family tree, especially since in English the more distant the relation is, the fewer semantic components are likely to be present. To translate *his uncle*, one has to find out whether it is on the paternal or the maternal side, whether it is a brother (but further questions: elder? younger?) or a brother-in-law of the parent in question. Looking for relevant information contextually can be a formidable venture, and frequently one may come back empty-handed! Technically translating from Chinese into English is less problematic in this case, except for the loss of possible cultural information in inevitable generalization.

Specification by adding modifying component(s) always involves a risk of over-translation, and the responsibility rests with the translator; while generalization, an apparently 'safer' practice, usually means under-translation, and the loss of information has to be borne by the TL reader.

A further analysis of modifying components in a word shows that some of them are more cognitive and others more emotional/attitudinal in nature. The former are more about the conceptualization of the outer objective world, while the latter are more about the expression of the inner subjective world. Modifiers of the two kinds collectively bear out the cultural mentality of the language community as seen through certain euphemisms or laudatory terms. The Chinese nation is said to be not extrovert by nature but rich in emotion; and, as observed by Zhang

Qichun (1957/83:201), the tell-tale signs of such a national characteristic are more in wording than in behaviour. An example mentioned by Zhang Qichun (ibid) is the existence of two Chinese words for 'crane' (*Grus japonensis*): a matter-of-fact *dandinghe* ('red:top:crane'), and a 'romantic' *xianhe* ('immortal:crane') preferable in a ritual context where the bird serves as a symbol of longevity.

A cognitively significant component has to be observed and retained, if possible, in translating; while an emotional one has to be assessed for its informative value before deciding upon a treatment. (Information transmission in its broader sense, we have to add, includes conveyance of emotional messages.) An emotional component, worn out by use, can become clichéd, non-personal and non-specifying. Since in translation even the most clichéd word in the source language can carry a potential value of surprise in the target language - there is a first time for everyone - the translator has to be careful not to allow a component to develop into an unintended information focus at odds with the coherence of the TL text, although translating *huanghun* ('yellow:dim', dusk) in the following examples as *yellowing dusk* or *yellow dusk* is but a mild and benign case:

[2.10]

North of the Ch'u king's royal lodge,
this moment, yellowing dusk;

(Tu Fu [Du Fu] 'Sunlight Cast Back', in
Owen 1985:282)

[2.11]

And rain drops in the yellow dusk.

(Candlin (tr.))

...rain / Drop after drop drips in the yellow dusk.

(Teresa Li (tr.))

(Li Qingzhao 'Shengshengman', cited with the translations in Zhang Qichun op. cit.:8-9)

Any attempt, however, to elaborate on *lanzhou* (beautiful boat) in the following line would be a risky exercise:

[2.12]

Lanzhou cui fa

('The beautiful boat is urging the departure')

(Liu Yong op. cit., Appendix I).

Lan, standing for orchid (*lanhua*) or fragrant thoroughwort (*lancao*), collocates here with *zhou* (boat) just to form a classical, conventional, and poetic alternative to the plain-looking word of 'boat'. It conveys, if any, only a kind of sentimental feeling rather than specifying any physical charm of the boat it refers to, which may be in fact quite an ordinary vessel. The modifier would strike a note of discord in the emotional drive of the poem had it not been taken as a clichéd collocate in the poem. It would be quite against common sense to suppose that the parting lovers should go out of their way to laud the boat which is pressing them to bid farewell to each other. Instead, the focus of attention should be on *cui fa* ('urging the departure'), as it is the modifying component FORCING, COMPELLING, or even THREATENING in *cui*

that highlights the helplessness of the parting couple. Here is one of the English translations cited in Zhang Qichun (op. cit.:111):

[2.12 tr]

The sandalwood boat is waiting to set sail.

Obviously *sandalwood* owes its occurrence here to the component FRAGRANT which it shares with *orchid.* The imagination behind it, however, is far-fetched, as it is visual COLOURFUL rather than olfactory FRAGRANT in *lan* that is the componential basis of the connotative formation of *lanzhou* as a poetic word. Moreover, *sandalwood* lacks that cultural catalysis which takes part in the formation of the word, that is, the spiritual nobility Chinese culture has attached to *lan* (orchid or fragrant thoroughwort) since the poet Qu Yuan (340? - 278? BC). The unrealistic, luxurious image of 'a boat of sandalwood' suggested by the translation becomes a distraction from the emotional emphasis of the line. Unfortunately, instead of placing more stress on the focal phrase *cui fa,* that aggressive 'urge' has been nullified into a passive 'waiting'. (If one insists on bringing out the modifier of 'boat', by the way, a balladistic phrase such as 'bonny boat' might be a better choice.)

2.2.3 Internal and external modifiers

The logical pattern of modification prevails, so far as we have demonstrated, within the lexical formation of a word as well as in the ordering of words that forms a sentence. But modification on different levels, more often than not, plays different ideational roles. Viewed from

the word level, for the sake of convenience and clarity, we will call those modifying components within a word, ie below the level, *internal modifiers*, and those on and above the word level *external modifiers*.

Generally speaking, internal modifiers refer to the intrinsic properties that identify the referent of the word as a member of the category in the world; therefore they represent the parameters of the family resemblances of the category. External modifiers, on the other hand, mark off the referent as an individual of the family by highlighting its special attributes that bear on the development of the text. We can speak with sufficient certainty that without an external modifier, the head word is intended to be left as a nondescript prototypical member of its category, as the case of *their hands* in [2.1] above (cf. Lakoff and Johnson 1980:168). The head word as such, in van Dijk's (1977:99) terms of semantic coherence, can be regarded as a world of 'assumed normality'. In the light of this, external modifiers work as a kind of 'specific indicators' for abnormal worlds, or, a less assumed normality of worlds. So, when a word is modified externally, there must be an illocutionary act of describing, specifying or highlighting, to make the referent as an individual entity against the family resemblances or assumed normality. For the translator, it is always interesting to seek the attitudinal implication in the process of ideational sub-classification of the head word modified externally (cf. Halliday 1973:109).

As we have pointed out above, the evolution of the meaning of a word in most cases happens in the way of shedding and/or acquiring internal modifier(s) and even altering the head component, while in discourse development, an external modifier creates a new information point which may contribute substantially to the advancement of the text. Textually, we have to be on the lookout for any perlocutionary effect

of an external modifier, eg contrast or irony, an effect which may or may not be produced with the writer's overt knowledge or acknowledgement.

Different languages represent different systems of conceptual categorization. To delineate the same area of meaning by another language in translation always involves transferring modifiers into and out of the contour of the word in question. Although the syntactic realization of the external modifying elements (transferred or original) in the target language can assume a different form to that in the source language, the translation always benefits from a sound understanding on the translator's part of the original's illocutionary intention and possible perlocutionary effect.

But things are not as simple as that in practice. Translation between different pairs of languages gives rise to different problems. Here we focus on some difficulties peculiar to translation between Chinese and English. These, on the Chinese part, are mainly due to (1) the sometimes misleadingly assumed traceability of meaning components in character combinations, and (2) the indistinct boundary between a free character as an independent word and a free character as part of a compound.

Firstly consider these two groups of nouns: *laopo* (wife) and *xianghao* ([illegitimate] lover); and *tudi* (apprentice) and *dizi* (disciple/student).

The character *lao* (old) in *laopo* does not signal a component OLD as it does in some other words such as *laoren* (old man). One's *laopo* is not necessarily old, just as one's 'better half' is not necessarily better. Hence given a suitable context *Ta laopo hen nianqing* can be a felicitous translation candidate for *His wife is quite young.* The word *xianghao*

involves greater ambiguity in its combination. The character *xiang*, taken in isolation, has several meanings, two of them are (1) 'appearance', 'looks' and (2) 'mutual', 'reciprocal'; while *hao* has a general meaning of 'good' or 'on good terms'. And it is the second meaning of *xiang* that takes part in the making of *xianghao* ('the one who attracts/loves illegally and at the same time is attracted/loved illegally by the other'). So *tade xianghao Gao Yisheng* in a recently shown version of the Chinese film *Raise the Red Lantern* should be 'her lover Dr. Gao' instead of 'her good-looking Dr. Gao' (sub-titled version in general circulation, 1992).

The MALE component in the character *di* (younger brother) in *tudi* (apprentice) and *dizi* (disciple/student) is no more than a legacy of a male-dominated society, an element both words have dropped in their development, albeit retaining the character. As a result of that they are able to take on a new component *nü* (FEMALE) in *nütudi* (female apprentice) and *nüdizi* (female disciple/student) to keep up, as it were, with social development (cf. English 'Madam Chairman').

The difficulty in assessing *nütudi* and *nüdizi* lies in the determination of the status of *nü* as a modifier. When it was newly acquired, *nü* must have been treated as an external modifier which overrode the petering-out internal modifier of MALE. In the use of the two words the *nü*-modifier is subject to a constant process of institutionalization to the status of internal modifier, as the referents themselves become more and more prototypical. And finally, on the way out with the component MALE in meaning, is the component FEMALE in form, when the words *tudi* and *dizi* become androgynous ideationally. It is against this background that one's attention may be drawn to the interpersonal meaning of the reiteration of the SEX component in, say,

nan-tudi ('male-apprentice') and *nü-tudi* ('female-apprentice'): and of utterances such as 'Ta gege bu xihuan dai nü-tudi' (His brother does not want to employ female apprentices) the perlocutionary effect (eg the creation of suspense or the expectation of an explanation) hinges on the modifier FEMALE.

This leads to our second problem, that is, the indeterminacy of demarcation between the free character and the compound.

Correct translation from Chinese to a great extent depends on a valid reading of words. The boundaries between words in a Chinese text are by no means as clear-cut as in English, at least to a non-native eye, owing to the lack of word spaces, a fact that has raised questions even in transcribing a text from the graphic version to the romanized Pinyin version within the Chinese language. Returning to some of the examples given so far, we can see that in general translation, both *dandinghe* ('red:top:crane') and *xianhe* ('immortal:crane') should be treated as single items (compounds) unless their internal modifiers have been exploited for potential cultural significance. So should *huanghun* (dusk) in [2.10] and [2.11] (cf. *jinsede huanghun*: golden dusk/sunset/afterglow, but not 'golden yellow dusk/etc'). The problems in [2.12 tr] above, from the viewpoint of external versus internal modification, lie in its over-treatment of *lan* as an external modifier and its failure to pay due attention to *cui* (urge) as an independent word.

2.2.4. Unit words: a special case

In modern Chinese a noun is normally preceded *idiomatically* by a unit word (also referred to as classifiers and/or measure-words in

conventional Chinese grammars) to form a construct which we will refer to as 'unit-word-collocation'. Some of the unit-word-collocations have corresponding collocations in English, such as *san-ping jiu*: *three bottles of wine* and *yi-qun mianyang*: *a flock of sheep*; but most of them are unique to Chinese. In our perception of modification, the textual function of the unit word as a special kind of modifier becomes evident in both English and Chinese. The difference between the two languages is that, in English the use of unit-word-collocations is greatly limited, classified by Newmark (1981:114-5) as two of the seven main groups of syntagmatic collocations: 'count noun [unit word] + of + mass noun [head word]', eg *a cup of tea* and 'collective noun [unit word] + of + count noun [ie head word]', eg *a brood of chickens*; while in Chinese the unit word is extensively used in specifying, classifying and measuring the noun head. Therefore, the typical complete form of unit-word-collocation in Chinese is either 'numeral + unit word + noun' (indefinite) or 'deictic word + numeral + unit word + noun' (definite). Such collocations in Chinese perform a determining function similar to an article in English, in terms of quantifying (through the numeral) and qualifying (through the unit word). In this analysis, unit-word-collocations in Chinese constitute a lexical category midway between the function word and the content word.

2.2.4.1 Unit words: form, meaning and translation

Componential analyses of Chinese unit words help us reveal a number of interesting features that deserve more attention in translating between Chinese and English. For example:

Firstly, in a definite unit-word-collocation of 'deictic word + numeral + unit word + noun', the deictic as determiner is more

important than the qualifying unit word; while the unit word in a singular form is more important than the quantifying numeral *one* (but cf. Li and Thompson 1981:104). Hence in descending order of specification there are three singular forms:

(1) 'deictic + one + unit + noun head', eg

na yi-ben shu ('that one-*ben* book')

(2) 'deictic + unit + noun head', eg

na ben shu ('that *ben* book')

(3) 'deictic + noun head', eg

na shu ('that book').

If a collocation contains the marker of non-specific plurality (by definition less precise in number than singularity or plurality specified by a numeral), such as *zhexie* (these), *naxie* (those) and *yixie* (some) (cf. Li and Thompson 1981:112), then the presence of the ordinary unit word can be undesirable. Hence (1) below is normal, while (2), which contains an ordinary unit word *ge* besides *naxie* (those), is rare and marked with a colloquial and emotional touch:

(1) 'deictic (pl.) + noun head', eg

naxie rizi ('those days');

(2) 'deictic (pl.) + unit + noun head', eg

naxie-ge rizi ('(all) those-*ge* days'), but

cf. **naxie-ge ren* ('those people').

Secondly, at the sentence level numeral *yi* (one) in the singular form of a unit-word-collocation is formally optional (because of the

component SINGULAR inherited in the unit word itself), but the unit word is essential. Hence the pattern '(one) + unit + noun head' is frequently seen in sentences such as 'Ta mai-le *(yi)-ben shu* ('He bought [one]-*ben* book)'. The difference between the form with *yi* (one) and the one without is roughly similar to, but never the same as (as shown below in our fourth point), that between *one* and *a* in English. The difference, immaterial as it may seem, can be of importance in text analysis for translation purpose.

Thirdly, there is the problem of translating the English deictic article *the* into Chinese. Strictly speaking, *the* falls into a semantic gap in Chinese, a language which lacks a versatile word to cover *zhe* (this), *na* (that), *zhexie* (these) and *naxie* (those). *The* shares with those stronger and more specific forms the deictic function, but is unmarked for number and free from spatial and/or temporal references (cf. Halliday 1985:292-93). In the practice of translating into Chinese, *the* often has to be delimited into one of the more specified deictic forms in line with the discoursal situation (a case of over-translation). For instance, *Please show me the book you mentioned yesterday* has to be 'Please show me that book you mentioned yesterday' in Chinese. Or, especially when its deictic function is very weak, *the* can be matched with zero-unit-word in Chinese (a case of under-translation), as in *Please pass me the salt*, which would be rendered as 'Please pass me salt' in Chinese.

Fourthly, as shown above, in an indefinite singular unit-word-collocation in Chinese, there is *one* in its full form. Here lies a pitfall for the translator, as *a* and *one* in English are different in semantic emphasis as well as in grammatical category (ie part of speech), a distinction that is not readily discernible in '*yi* + unit word' in Chinese.

It can therefore be extremely delicate to tell one from the other at sentence level. Sometimes '*yi* + unit' helps to introduce new information by specifying an individual entity, as does *a* in English, in sentences such as *Wo mai-le yi-ge chuangzi* (I bought a window). Sometimes it emphases the number 'one', as in *Wo mei dapo yi-ge chuangzi* (I did not break one (single) window) as against a more general statement *Wo mei dapo chuangzi* (I did not break any window/windows). In both cases the supramorphological feature of Chinese syntax is not overridden by other factors, so *window/ windows* remains indefinite-referenced. Thus Givón's (1978:248) interpretation of *Wo mei dapo yi ge chuangzi*, namely, 'There is a specific window that I did not break', needs to be re-examined, as such an illocutionary intention is carried out in Chinese by sentence pattern with the 'dummy verb' *you* (have; there is/...), eg *You (yi) ge chuangzi wo mei dapo* ('There is (one-)*ge* window I didn't break'), where the specific but indefinite *chuangzi* (window) occupies a pre-verbal position (cf. Yip and Rimmington 1991, esp. p.13).

Last but not least is the idiomaticity of unit-word-collocations, both in English and in Chinese. Pigeonholed between content- and function-word categories, the modifying function of unit words tends to be weak and indirect in comparison with an ordinary adjective, for instance, and some of their colligational combinations may appear to defy any logical speculation. For instance, *piece* in English, like *ge* in Chinese, is probably among the fuzziest. One can say 'a piece of thread', 'a piece of paper', or 'a piece of cake', etc., without specifying any of the significant properties of the referent in each case; but the modifying component in its Chinese counterparts is more discernible: 'yi tiao xian (a *stretch* of thread: LENGTH)', 'yi zhang zhi (a *spread* of paper: AREA)', and 'yi kuai dangao (a *cube* of cake: MASS)'. However,

a more specifying or descriptive unit word can be found in phrases such as 'a head of hair' (LOCATION), 'a spot of milk' (VOLUME/QUANTITY), and 'a puff of air' (SPEED/SOUND). To translate these into Chinese, in some cases, an adjective may be needed to replicate the relevant semantic component(s).

2.2.4.2 Metaphorical use of unit words and their translation

The unit word, in Chinese and English alike, presents an institutionalized metaphorical use of a noun to 'measure' another noun, constituting a significant domain of idiomaticity of the two languages which has to be dealt with cautiously in translation. The system of unit words is a structure of ontological metaphors by Lakoff and Johnson's (1980) definition, a result of our consistent attempt and effort to define our world by imposing in-out orientation and boundaries on physical objects and substances as well as intellectual concepts.

If an idiomatic unit-word-collocation is generally expected to be translated in the target language with a collocation of equal idiomaticity, it is the innovative use of a unit word, which exploits the third dimension of the SOM for aesthetic purposes, that should be translated as a stylistic marker as well as an information carrier. Let us consider the first stanza of Chen Jinrong's 'Che Shang' (On the Train):

[2.13] #

Wang bujian lu, san-liang-li denghuo,

('Look not:see road, three-two-*li* lamplights,')

Yi-pian hun'an, yi-pian feng.

('One-*pian* dimness:dark, one-*pian* wind.')

and an English translation:

[2.13 tr]

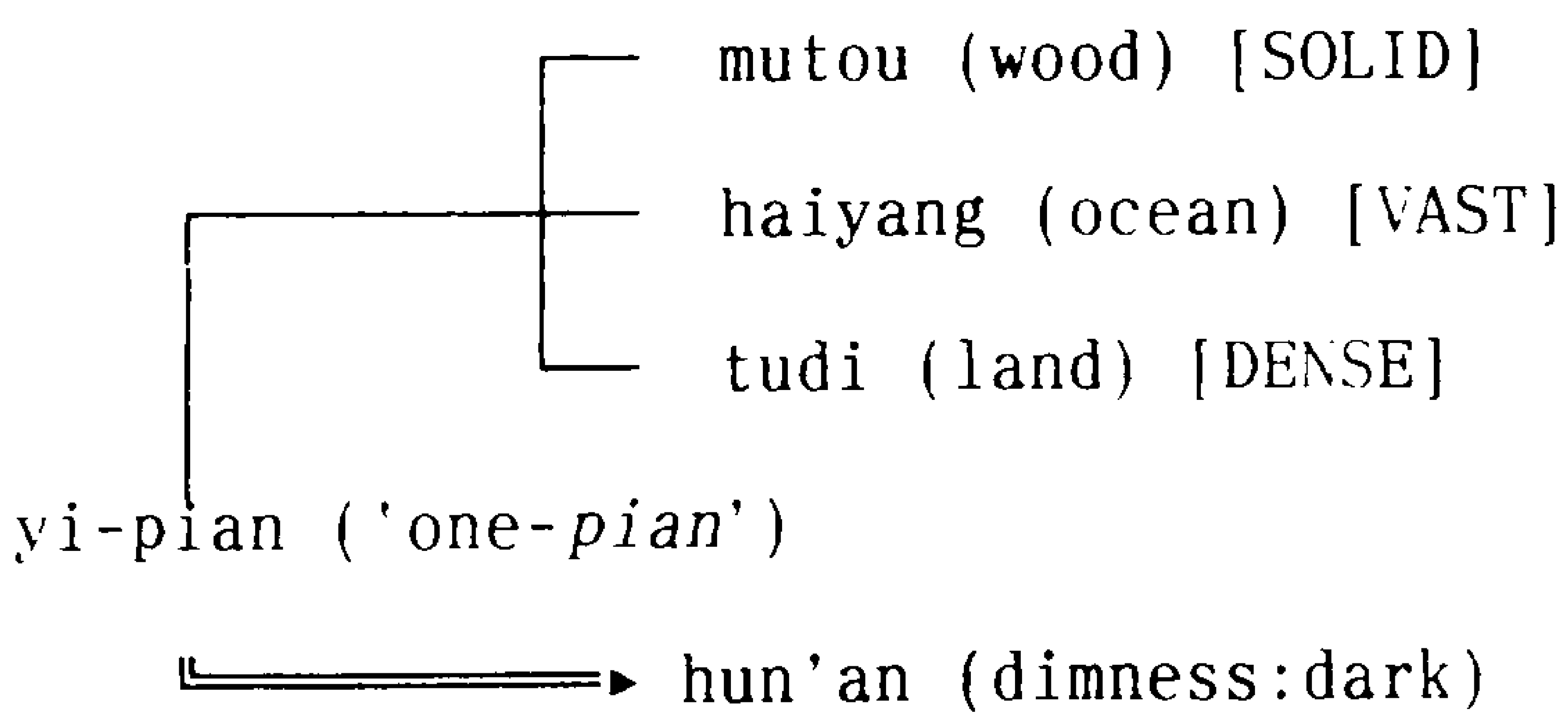
> Invisible is the road: two or three dots of lamplight,
>
> A stretch of dimness, a wisp of wind.
>
> (Evangeline Almberg (tr.))

The stanza contains four images: road, lamplight, dimness and wind. The road, one of the principal items in a train journey frame (For the notion of 'frame', see van Dijk 1977:99), is out of the picture; lamplight, another human related image, is reduced to a very insignificant degree. The world is left, so to speak, to the dimness and wind. With the absence of attributive modifiers, one's attention is drawn to those unit words, and one may find that they have been originally used not only to quantify, but to describe, and it is on their descriptiveness that the poetry of the persona's mental experience on the journey capitalizes in this opening scene of the poem.

In the place of *li* (grain), a conventional choice would have been *dian* (dot) to collocate with *denghuo* (lamplight). If *li* and *dian* convey a similar amount of cognitive information, certainly more message is carried by *li* as the poet's personal choice. Besides SMALL, which it shares with *dian*, *li* has two more distinctive components, HARD and CUBIC (as in 'a grain of salt' in English), with which the lamplights stand out in clear relief on a dim and windy background. This is something unique to the traveller's perspective in that particular situation that the poem seems to have conveyed.

The word *pian*, like *piece* in English, has a very fluid meaning area with flexible extralingual referential meaning, a feature which

increases its collocative potential, making it easy to shed the particular, set meaning and acquire contextually dependent 'occasional' or instantial meaning (cf. Ellis 1966). *Pian*, concrete and solid in its primary referential meaning, namely, 'one half of a block of wood sawn into two' (*Ci Hai* 1979), becomes abstract in 'yi pian hun'an' ('one-*pian* dimness:dark'), vast in 'yi-pian haiyang' ('one-*pian* ocean'), dense in 'yi-pian tudi' ('one-*pian* land'). So, as we may have noticed in these phrases, *pian* has borrowed these semantic properties from the noun heads which it is supposed to quantify or qualify. Besides such dynamic interactivity between the unit word and the noun head in a collocation, there is a paradigmatic borrowing of qualifying components by more abstract nouns from more concrete ones via the shared collocate unit word, a semantic phenomenon frequently exploited for literary purposes, for instance:



As a result, 'one-*pian* dimness' ceases to be intangible and void as dimness should appear to be, but has acquired through paradigmatic interplay properties such as oxymoronic solidity, hyperbolic vastness and synaesthetic density. Through the unit word, the physical and mental dimness becomes, so to speak, a concrete, imposing and devouring substance. The last innovative phrase, *yi-pian feng* ('one-*pian* wind'), would have been quite unacceptable had the reader not been

prepared by *yi-pian hun'an.* Through this zeugmatic repetition of the same unit word, the reader seems to have been led to believe that the 'wind' shares all those qualities that the 'dimness' has acquired paradigmatically. In this line (which repeats at the end of the poem) an image similar to Shelley's 'frozen wind' in *Charles I* is created, which, like the 'dimness', is too vast, persistent and solid to be covered by any of those conventional collocate unit words in English which tend to concentrate more on the physical features of 'wind' as a natural phenomenon than the 'wind' as a mental reality. An experimental translation is proposed as the result of our analysis:

[2.13 tr.i]

> Invisible is the road, two or three grains of light,
> A sweep of gloom, a swathe of wind.

2.2.5. Sound and sense in word choice

Newmark (1981:19) is right in claiming that 'translation theory is concerned with choices and decisions, not with the mechanics of either the source language or the target language'; yet one should not ignore how mechanisms of grammar, sense and sound may affect one's choice. In translation as well as writing, the three mechanisms work together to decide on the right word and the right word order, especially when one looks at a text from a discourse point of view.

The interplay between the three mechanisms, however, are subtle and delicate and not always obvious for perception in one language, and will become much more so when it comes to working between two

languages. For instance, at word level, the open-endedness in the final sound of 'fly' (underscored by the gliding movement of the diphthong) can be matched in Chinese by level-pitched 'fei' or 'feiyang'; and the abruptness of the final stop of 'flap' by 'paida', which ends in the oblique pitch; but the dammed-up momentum in the voiced, velar-stop final sound of 'flag' is absent in that of its Chinese counterparts such as 'qi' and 'qizhi'.

On sentence and higher levels, however, one may find more room to solve the problem of rhythm in translation provided one has been aware of the sound effect and keen to reproduce it.

Let us consider *close* and *shut* for example. Leech and Short (1981:126-28) offer an account of the different sound effects of the two words in a comparison between Katherine Mansfield's

[2.14]

The discreet door shut with a click.

(A Cup of Tea)

and an alternative

[2.14 i]

The discreet door closed with a click.

In a word, *close* 'sounds' longer and is likely to imply the resultant state while *shut* is more abrupt and with the emphasis on the completion of the action. To echo that 'abrupt momentariness which chimes with *click*' (Leech and Short ibid), a Chinese version such as

[2.14 tr.i] #

Dianmen keqide kada yisheng guanshang-le

('Shop:door politely kada one:sound closes:up')

would be preferable to, say,

[2.14 tr.ii] #

Dianmen keqide kada yisheng guan-le

('Shop:door politely kada one:sound closes').

There is, however, a hierarchical relation between these mechanisms, which may affect the acceptability of a translation. The hierarchy can be well illustrated by the sequencing of grammatically equal elements (eg co-ordinates) in a phrase or sentence.

Irreversible binomials such as 'fish and chips', 'peace and quiet', 'law and order', 'leaps and bounds' and 'salt and vinegar' often owe their sequencing to habitual sound preferences rather than experiential logic. (Examples are based on McCarthy and O'Dell (in press), but see Fenk-Oczlon 1989 for a thorough treatment of word-order in such binomials.) In rendering phrases of the kind, a Chinese translator should feel free to reorganize the equivalents, if necessary, in keeping with the habitually preferred sound mechanism of the target language.

Choices would not be so open in regard to, say, the grouping of the four directions, ie *north, south, east and west*, which should be referentially valid regardless of sequential order. But when translating these into Chinese, the translator has to pay due respect to the set equivalent offered by the TL habit, either 'dong xi nan bei' ('east, west,

south, north') or 'dong nan xi bei' ('east, south, west, north'), which fit one of the conventional sound (pitch) patterns, '. level . oblique'.[1]

From the above examples we can see that, so far as sound and sense are concerned in translating a textually justifiable text, sound mechanism starts when sense mechanism stops.

2.3 CONCLUSION: UNIT OF TRANSLATION (UT)

The linguistic composition of a SOM, put succinctly, is a matter of how to get the right words in the right sequence of the right length. Yet what should be considered as the adequate length of a sequence, ie a stretch of language, to make it complete enough as a unit for the purpose of translation? Here we touch upon the debate concerning the extent of a UT (Unit of Translation). And as Newmark (1988:54) puts it, this 'is a concrete reflection of the age-old conflict between free and literal translation'. However, by taking on the problem of UT, it is our wish to open up some new directions for speculation concerning translation issues, instead of getting involved in that 'age-old conflict', which is arguably leading to no firm conclusion.

The concept of UT has generated a good deal of confusion among modern theorists, which has, as a result, rendered it of hardly any assistance to the translator in practice (Newmark 1981:140 and 1988:54). In our attempt to clarify the confusion, we have first to probe its origins.

Catford (1965:8), following Halliday, offers a hierarchy of 5 units for consideration in translating,[5] that is, in descending order, sentence, clause, group, word and morpheme. And according to Newmark (1988:54),

'free translation has always favoured the sentence: literal translation the word'; with text linguistics, free translation has moved to the whole text, hence giving rise to a 'confusing tendency'. Therefore, Newmark's concept of hierarchical ranking is from complete text, to paragraph, sentence, clause, word group, word, morpheme and punctuation marks (Newmark 1988:9). In Hatim and Mason (1990:132) meanwhile, the hierarchy has gone up from word, phrase, clause, clause sequence, to text, discourse and genre.

On the one hand, the fading out of the morpheme as a unit is noticeable; on the other the importance of units higher than sentence, or, clause sequence, is on the increase (cf. Holmes 1988:75). And Halliday himself later, when taking text as a semantic unit, points up:

> The essential problem ... of relating the text not only 'downwards' to the sentences which realize it but also 'upwards' to a higher level of meaning, of which it is itself the realization or projection.
>
> (Halliday 1978:70)

This reflects the increase in the scope of translation studies to cover communicative factors such as intention, attitude and social appropriateness in the use of language, rather than staying with 'minute' linguistic details of the SL text. Also, there is a distinction to be noticed between the concept of 'complete text' (qua artifact) and that of 'text' (qua process) (cf. Bell 1991:149 and ch.5). The latter refers virtually to any coherent and cohesive unit that realizes a specific speech act and has in consequence a more flexible boundary. The adoption of flexible 'text' as UT suggests at least partial refutation of the practicality of taking 'full text' as UT, and at the same time

recognition, albeit indirect, of sentence and even word (especially verbs, see Ballmer 1981:177) as the focus of attention in translation in appropriate cases.

Nevertheless, with different focus of attention, individual translators may prefer different units as their basic working units. Some may hold on to one particular unit. For instance, Bassnett-McGuire's 'prime unit' is the (full) text (Bassnett-McGuire 1980:117), while Tancock's 'most satisfactory unit ... is the rather long sentence or short paragraph' (1958:33). Others (eg Newmark, and Hatim and Short) adopt a more fluid notion of UT with respect to certain less physical factors.

The state of affairs can therefore be summarized as follows. Those who argue against (full) text as the UT, Newmark as a representative, claim that 'That would be chaos', and 'Ideally, the UT is one word ... never the text' (Newmark 1981:140, 1988:55). Those who hold (full) text as the UT warn, by quoting Dryden, that the translator 'must never dwell on the words of his author' (O'Brien 1959/66:84), and 'must eventually resolve to translate discourse equivalents, rather than lexical or even sentential structures' (Givón 1978:272).

One of the causes of such a confrontation of ideas lies in the fact that our basic understanding of the concept 'Unit of Translation' concentrates mostly on the levels in the source language (Newmark 1981:140), and therefore tends to neglect the corresponding unit of realization in the target language. Once we view the UT as the meeting point of the two languages, we realize that we have packed into the notion some elements that are not fully compatible. We may ask

ourselves: Does the UT mean a translatable unit, or a comparable unit, or, as we may call it, a judicial unit?

An immediately translatable unit must be grammatically comparable between the source language and the target language, but generally it is not extensive enough to have a judicial authority. A technically translatable unit can be, ideally, the word, or, more realistically, the sentence. A grammatically comparable unit, however, may not always be translatable without shifting to a higher or lower level. In most cases, comparison is made on the level of sentence, the 'unit of interaction' if we agree that full stops are 'interaction points' (Coulthard 1985:192) in discourse; or on the level of paragraph, the 'unit of thought' (Nietzsche referred to and agreed by Newmark 1988:65). A judicial unit is one with adequate 'contextual authority' by which the validity of a particular translation on a lower level can be judged. Such a unit, usually the full text/discourse, less commonly the genre or the whole culture, must be structurally comparable but too large to be technically translatable in practice.

This perception of UT clarifies to a great extent the confusion about the applicability of UT in translation. In practice the word is often taken as the basic semantic unit for translation. Anyway it is a word, or phrase, rather than a sentence or text, that would send a translator to a dictionary. Sentence, and paragraph as a coherent and cohesive group of sentences, work as units for sequential comparison. No matter how much one may favour 'complete text' as the UT, when one comes to any particular translation problem, it is sentence(s), or paragraph(s) that would be counted to illustrate a point, in classrooms and in critical essays alike, while text as a broader context, if necessary, is frequently referred to to *justify* the point. If sentence

and paragraph can provide 'linear coherence' for sequential comparison, the significance of full text or discourse lies then in its 'global coherence' (van Dijk 1977:95) on which a translation as the final product can be judged. The introduction of text or discourse as a UT indicates an advance in translation studies, in the sense that the concept surpasses the confines of the traditional approach which stops at the level of sentence. Obviously only within the global coherence of discourse can we perceive sentential connections in the SL text, and justify any readjustments and rearrangements made in translation to ensure the global coherence of the TL text.

Among these levels, sentence, not word, is the key level which is translatable as well as sequentially comparable and analyzable. Sentence, according to Sinclair (1972:18), is 'an essential grammatical unit', 'a fundamental unit of communication'. A sentence as a sequence of words and phrases offers a local context for decision-making in translating on a comparative basis. As van Dijk (1977:95) has observed, macro-structures which determine the global coherence are themselves determined by the linear coherence embodied in a text viewed as a sequence of sentences.

In this chapter, we have found at the level of sentence (as a sequence of words/phrases) a workable platform for our observation and analysis of the linguistic composition of the SOM, although from time to time we refer to the text (with a flexible boundary) for justification.

Notes

1. The comments have taken into consideration the context or situation in which the Chinese clause in question is most likely to occur, but discount possible voice modulation in an actual utterance.
2. Chinese may be said to have no voice (Chao quoted in Li and Thompson 1981:496), but as we have seen, the passive construction in Chinese can take a more flexible form in terms of word order.
3. The notion of 'narrative foreground' used here is distinct from the Prague School's idea of 'foregrounding' or 'de-automatization', which is concerned with textual design of highlighting certain linguistic elements. 'Narrative foreground' is about narrative design, in Hopper's (1979:213) words, it is 'the parts of narrative which relate events belonging to the skeletal structure of the discourse' against the narrative 'background', ie, 'supportive material which does not itself narrate the main events'.
4. It is interesting, however, to note that the press in P.R. China has recently referred to North and South Korea as 'Chaoxian Bei Nan' ('Korea North and South'), while the Chinese convention would prefer the order of 'nan bei' ('south and north').
5. The rank scale is adopted by Sinclair (1972:12-13) as well.

Chapter III

Interactional Dynamic: SOM in Action

The linguistic composition of the SOM is meaningful for translation first of all as the material means for the communicative functions of the text. But the communicative significance of the SOM lies in its second dimension, that is, the interactional dynamic, based on the linguistic features of its physical being. In this chapter we shall look into this second dimension of the SOM, the interactional dynamic, concentrating on the following issues:

(1) form and content in translation as communication;
(2) information organization in translating in terms of:
  i) implicit versus explicit presentation,
  ii) thematic structure, and
  iii) cohesion.

3.1 FORM: TO COMMUNICATE

One of the reasons, if not the only one, why traditional approaches to the study of language and writing have inevitably been caught in a conflict, is that the text is treated as a static object poised between two poles typically seen as Form and Content. The balance is so delicate that as soon as the text has to go through a translating process for any reason, worry and argument erupt: What should a translator try to

retain, the form or the content, the 'word' or the 'sense'? To justify such concerns, a notion of 'absolute text', that is, text independent of reading, understanding and interpretation, is consciously or unconsciously called upon. Hence the original appears to be an 'absolute text' with 'absolute meaning', contained, packaged, or dressed in a form which is external and which should be shed in translating to give place to a new one.

Some theories of translation have taken on board one very dynamic factor, ie the TL reader, and at the same time displayed an inclination towards a dualistic view of content versus form. This can be clearly seen in the following quotation from Nida and Taber (1969:14):

> ...[in translating] one is constantly faced by a series of polar distinctions which force him to choose content as opposed to form, meaning as opposed to style, ... and naturalness as opposed to formal correspondence.

It is worth noting that the dualistic view tends to see meaning as the cognitive, or ideational content of the text and form as the linguistic construct. And the concern as to which of the two should have priority immediately hauls the dualist back into the confines of so-called free and literal translations, though under various new names.

The legacy of dualism, however, is not all negative. Its contribution lies in its straightforward acknowledgement and recognition of two basic *components* of text: content and form. But in our approach to translating, these should not be two vying elements, one surviving in translating at the expense of the other. In the light of the interactional dynamic, content, or information, is what is understood to

have been communicated: it does not have any absolute boundary but its meaning area is relatively definite. Form (of a text as distinguished from the general frame of the genre it belongs to) is what communication has been secured with, and it is as dynamic as communication itself. This may not sound much different from a dualistic point of view, but it is useful for our purposes at least in the following ways.

Firstly it enables us to see a text as an instance of communication in which form and content merge with one another, and translating is actually a relaying process of the communication conducted in the target language. This point will be expanded and exemplified in the current and the next chapters.

Secondly, the concept that content is relatively definite will rule out purported translations which fail to bear out what is understood by the general public (but obviously not by the translator him/herself and probably the editor) to have been communicated. By our definition, a 'translation' at variance with the original in content is at best re-writing and at worst guesswork or 'fiddling', simply because it presents a world different from that in the original. For instance, the following cases will show how far afield a 'translation' can drift if its connection with the original in respect of informative validity is severed:

(1) the supposed translation of Li Shang-yin's 'Yeyu Ji Bei' by Herbert A. Giles:

[3.1 i]

Souvenirs

You ask when I'm coming: alas not just yet........

How the rain filled the pools on that night when we met!

Ah, when shall we ever snuff candles again,

And recall the glad hours of that evening of rain?

as against Xu Yuan-zhong's

[3.2 ii]

Written on a Rainy Night to

My Wife in the North

You ask me when I can come back but I don't know,

The pools in western hills with autumn rain o'erflow.

When by our window can we trim the wicks again

And talk about this endless, dreary night of rain?

and (2) Chen Jin's 'translation' of William Carlos Williams's 'The Use of Force'; one passage from the translation, for example, reads as follows in English:

[3.2]

A lesson of pharynx-larynx physiology is necessary for her. I said to the Olsons, this work should be carried out by them. I explained to them the danger of diphtheria. So long as you give a successful lesson, I will not ask her to take an examination.

while the original is

[3.2 i]

> I had to have a throat culture for her own protection. But first I told the parents that it was entirely up to them. I explained the danger but said that I would not insist on a throat examination so long as they would take the responsibility.

Practices of this kind by our definition are not translations and will not be included in our current study of the SOM.

In our study we assume that a text that is a translation should correspond with the original first of all in propositional content. This, the argument of the previous chapter, is our point of departure in this one, which focuses on the interactional dynamic of text as SOM, by examining the extent to which form can render informative content into a communicative entity and how such a dynamic function can be relayed and maintained in translating. To put it in Holmes's terms:

> Such a theory [of the nature of texts, on which an adequate theory of translation can be developed] will devote extensive attention to the *form* of texts - how their parts work together to constitute an entity -, to the way texts convey often very complex patterns of *meaning*, and to the manner in which they *function* communicatively in a given socio-cultural setting.
>
> (Holmes 1988:100)

Grammar, or the study of form, is of little use to a translator, unless it is pursued from the point of view of information: for instance (as we shall see in the following sections) information presentation and information modification. Form in the most general sense of the word

may not have much to do with content, and different grammatical interpretations of forms similar in informative function (eg conjunctive '.... *So*...' versus paratactic '..., *so*...' (Halliday 1985:318)) may not always lead to different versions in actual translating; yet form in a more specific sense should be held in respect in translating by virtue of being one of various 'permissible combinations' of grammatical units (Coulthard 1985:121) provided by the language and chosen by the writer as the actual presentation of information in the text. One can be a better translator so long as one has one's eye on any subtle difference in meaning indicated by a difference in form (cf. Lakoff and Johnson 1980:131, 135-36). Because it is in form, not in propositional or ideational content, that one can trace the illocutionary force, the interpersonal stance and the interactional effect, especially in a locution without an illocutionary formula.

For instance, in conveying the proposition of 'being realistic' in Chinese, different forms, or presentations, will produce different illocutionary forces and thus realize different role-relations:

[3.3] #

(1) Zuo ren ma, shi yao xianshidian.

('True, in this world, one should be a bit realistic')

(2) Zuo ren ma, xianshidian.

('In this world, better be a bit realistic')

(3) Zuo ren yao xianshidian.

('In this world, be realistic')

In saying (1), you are agreeing with your addressee, confirming a shared outlook. In saying (2) you are attempting to persuade your

addressee to change his/her attitude or to resign him/herself to an unpleasant situation; and being a persuader, you are adopting an interactionally superior position. In saying (3), you may be commanding, assuming a position socially superior to your addressee. English translations of the three sentences based on illocutionary interpretations may be formally different from each other as well:

[3.3 tr]

(1) Yes, one has to be realistic.

(2) Come on, be realistic.

(3) You must be realistic.

The consideration of the interactional dynamic of the SOM has enabled us to see form as the actual conveyance (instead of container) of content in an instance of communication. The significance of form lies in the interaction of information in communicating. We may say that linguistics has concentrated on form and linguistic philosophy on meaning, and that grammar is about form (Coulthard 1985:13, 122); but on the other hand we have to do away with any static view of form as the mere linguistic makeup of the SOM in a text. Owen's 'reconsideration' of form certainly holds beyond the domain of traditional Chinese poetry and poetics:

> In itself form means absolutely nothing; ... form is neutral. ... form is free [to serve any master].
>
> (Owen 1985:103)

In translation carried out in the light of the SOM there should be no intuitive struggle for survival between form and content. Pragmatic-based approaches as exemplified in many types of discourse analysis have alerted modern translators to the traceability of the interactional dynamic of a text through a rational analysis of its formal features in connection with the informative content. And the interactional dynamic of the SL text must be matched in an appropriate form in the TL text since translation is actually a kind of 'relay communication', in which the translator has 'complete control over the process of understanding' of the original and 'complete control over the process of composition' of the translation, to borrow Sinclair's (1972:3) description of writing interaction.

3.2 (RE-)PRESENTATION OF INFORMATION IN TRANSLATING

3.2.1 The grammatical system and implicit/explicit presentation of information

If traditional formal grammar is mainly concerned with the description of the formation of different types of clauses/sentences in a given language, then one of the contributions of functional grammar to our understanding of language is that, through the system of transitivity, we are able to perceive clauses in connection with the information units formed by logical structures such as agent-process-extent. And since transitivity has its roots in the experiential processes (actions, events, emotions, consciousness, and relations), functional grammar inevitably becomes a description of how a language is used in describing (thus

conveying) human experience of the world (see Halliday 1973:127, 1978:129 and 1985:274). It is in pragmatics that the close interconnection between the grammatical and the informational aspects of a language can be found. This is of particular importance to the Chinese language, whose word order 'is governed to a large extent by considerations of meaning [ie the use of language] rather than of grammatical functions' (Li and Thompson 1981:119). And since each language conceptualizes the world in its own way, what is of interest in translation studies must be an examination of differences between the conceptualizations, that is, the representation of the world in different languages. This is in contrast to methodological prescriptions such as, for instance, that a student should translate an adverbial clause from English into another language in this way rather than that, as some traditional translation textbooks attempt to elaborate and formulate.

Translation practice over the centuries has proved that translation is generally possible. This is because, in the view of the present writer, in translating, the two languages involved are to describe the same world, ie, to present the same amount of information about that world. The presentation of information is facilitated but at the same time constrained by the respective grammatical apparatus of the languages. As a result, in translating, some parts of the expressed information may submerge from the formal surface (ie become *implicit*), some may rise to the surface and become *explicit*, and some may be related from a different point of view, while the information gestalt remains similar if not the same. If we take this process of transformation as obligatory, we also have to bear in mind another kind of transformation which is more by translator's design and demonstrates greater variety, diversity, or even unpredictability in translation

practice. This is to be discussed in the next chapter. What we try to say here is that whatever transformation takes place in a translating process, by default or by design, so long as it is aligned with the interactional dynamic of the text, the original information gestalt is normally retrievable in a reading of the TL text by a competent reader.

3.2.1.1 Active versus passive presentation: the world in different reflections

For the moment we concentrate on the first type of transformation in translation between Chinese and English. How the two languages perceive the world and record it in their textual formations can be well illustrated by the translating of passive voice from English into Chinese.

Active and passive voices are in a sense no more than two different ways of presenting the same world, as voice systems in a much broader sense are actually 'choices between different ways of actualizing and bringing to the surface the transitivity options' (Berry 1975:154 (note 1), and 160), and sometimes they may appear to be logically equal options to a language user. Between Chinese and English, however, the fact is that the passive is much more extensively used in English than in Chinese (Zhang et al 1980:120, Lü et al 1983:47, Li and Thompson 1981:499). Moreover, active and passive are not equal choices within either of the languages, and the passive tends to be more marked than the active. Halliday (1985:151) has given possible reasons for choosing passive voice in English, which seem to hold to a great extent in Chinese as well (Except (i) in (2) below):

(1) to get the Medium [the participant 'that is critically involved' in a process (Halliday 1985:147)] as Subject, and therefore as

> unmarked Theme ...; and (2) to make the Agent either (i) late news, by putting it last ..., or (ii) implicit, by leaving it out.

However, in Chinese, the typical passive construction marked by the particle *bei* is adversity-biased and cannot be used with verbs that do not have the meaning of disposal (Li and Thompson 1981:493, 501), and the formal (surface) actualization in Chinese, as we shall see, may not be the same as in English.

In English, information presentation in a passive clause (ie by delaying or deleting the Agent and raising the Goal, or Object, to the status of topic) normally shifts the interactional emphasis from the action to the fact or the resultant state, that is, from the subjectivity on the agent's part to the objectivity of the process, with an implication of inevitability inflicted or imposed on the goal in a material process. The result can be a less committant text from the point of view of the author. This contributes to the extensive use of passive in certain types of texts such as academic writing (for a recent study of active/passive distribution in academic text see Meyer (1991).

It is interesting to note that the passive construction in Chinese, though much more limited in use, has more exponents than its English counterpart *be + past participle (+ Agent)*:

(i) *bei/shou/zao/gei/ai/jiao/rang (+ Agent) + verb*;

(ii) *wei/bei + Agent + suo + verb.*

Space precludes a detailed examination and illustration of these exponents and their variations (eg those containing the Prime Mover, the Affected Entity and the Interested Party (see Sinclair 1972:6-7)),

while a methodological account of their application in translating between English and Chinese can be found in Zhang et al (op. cit.) and Lü et al (op. cit.). It is significant, though, to point out that in Chinese a passive clause does not 'make the Agent late news by putting it last', instead, the final position is given to the verb.

Also we have to note that in both languages there exists the following passive sentence type:

[3.4]

The door opened

[3.5]

Men kai-le

('Door opened').

[3.4] and [3.5] carry the same amount of information distributed in a similar sequential pattern, and both are active in form but passive in meaning. Such clauses in Chinese have been called 'unmarked' (Lü op. cit. 1983:50) because of their lack of (formal) passive markers such as *bei*, and in English 'non-causative' in unrestricted material processes in terms of transitivity, owing to the absence of 'the "causation" part of the meaning' (see Berry 1975:156-58). For a translator these notions fuse to provide a useful, comprehensive view. They are formally unmarked (thus inclined to be informatively unmarked) and logically non-causative, as the actor of the stated main process (eg 'open') is not the actor but the goal of the 'causing' (ie the implicit process that makes the main process possible is activated by another actor and can be therefore irrelevant to the interactive intention of the main process). Both 'The door opened' and 'Men kai le' imply a concommitant process (eg

pushing) done by another actor (eg a person or wind), but the concommitant process is considered unimportant in the interactional dynamic which furthers the movement of the discourse.

But when the stated participant (the subject) is the goal of the main process, in English the process has to be represented in a passive structure while in Chinese it can remain unmarked and active in form, though both now suggest causation, as shown in [3.6] and its English translation:

[3.6]

Shu zao-dao le

('Book found')

[3.6 tr]

The book was/has been found

(*The book found).

Being actor-implicit, both stress the fact that the book has been found rather than that somebody has been looking for it.

More options are available if the agent is explicit, and the process becomes causative with two participants present. Hence [3.7] below can have more than one Chinese version, but each is (slightly) different from the others in informative emphasis and interactive interest, for instance:

[3.7]

The book was found by Paul

[3.7 tr] #

(i) Shu bei Baoluo zao-dao-le.

(The book was/has been found by Paul.)

(ii) Baoluo zao-dao-le shu.

(Paul found/has found the book.)

(iii) Shu shi Baoluo zao-dao de.

(The book was/has been found *by Paul.*)

(iv) Shi Baoluo zao-dao-le shu.

(It is Paul who found/has found the book.)

The '...shi...de' pattern in (iii) is useful in Chinese for highlighting a prominent informative component in a clause (which in English is realized by phonological prominence) without going as far as to the 'Shi... (It is ... that ...)' pattern (see also Li and Thompson 1981:153-54, 500, and sec. 20.3). If extra information (eg actor, circumstantial adjuncts) is added to the basic exponent of passive voice, it should be taken as a necessary component in information interaction; and if due emphasis is called for on those information components in translating, the '...shi...de' pattern can be right for the purpose in most cases. For instance:

[3.8]

The book was found *by Paul* in the drawer

[3.8 tr] #

Shu shi Baoluo zai chouti li zao-dao de

('Book *shi* Paul in the drawer found *de*)

[3.9]

The book was found by Paul *in the drawer*

[3.9 tr] #

Shu Baoluo shi zai chouti li zao-dao de

('Book Paul *shi* in the drawer found *de*')

Another kind of agent-implicit clause extensively used in Chinese are so-called 'zero-subject clauses', which, together with 'agent-non-specific' clauses (using eg 'people'/'one' as the agent), reduce considerably the use of marked passive clauses in Chinese. Here let us consider the following passage:

[3.10]

(1) In a photographic studio a great deal of attention is paid to creating the right lighting.

(2) It is a highly skilled job and can be very difficult.

(3) No one notices when it is done properly but it is quite obvious when it is not!

(4) Fig.20.5(b) shows how extra sets of lights can be used to 'fill in' shadow areas.

(5) This is done to 'soften' the shadows, which are not so hard on the eye.

(Barry Stone *Physics 2*, here adapted in list form for convenience of discussion.)

In the five sentences there are five passive clauses (one in (1), two in (3), one in (4) and one in (5)). Although all of them are actor-implicit, it is obvious that the processes are performed by the same actor (say the photographer), which is exophorically inferable from the very first phrase of the passage. The reader's attention has been channelled to

the processes by means of (i) agent deletion, and (ii) non-specified agent *one* in (3).

Our Chinese translation offers a chance to see how the information is distributed and the interactional dynamic is maintained in another language.

[3.10 tr] #

(1) Zai sheyingshi li renmen feichang zhuyi dengguang peizhi.
('In a photographic studio people attend closely to the lighting deployment.')

(2) Zhe shi yi xiang jishu yaoqiu hen gao, bingqie hui shi feichang kunnande gongzuo.
('This is a job [that is] with high technical demand and can be very difficult.')

(3) Zuo hao le shui ye buhui zhuyi, ke zuo cha le you xianyan de hen!
('[When you] do [it] properly no one notices, but [when you] do [it] badly [it is] quite obvious!')

(4) Tu 20.5(b) shuoming-le ruhe caiyong fuzhu dengguang lai 'tianbu' yingqu.
('Fig. 20.5(b) shows how [to] use extra lights to 'fill in' shadow areas.')

(5) Zheyang zuo shi wei-le shi guangying rouhe, rutushi bu zhiyu xiande name ciyan.
('[That you] do [it] this way is to make the shadows soft, as shown in the picture [they] do not appear so hard on the eye.')

The back-translation into English has tried to keep as close as possible to the original wording. So we can concentrate on the presentation of information without being distracted by considerations such as technical jargon and specific semantic choices. As for issues such as Theme/Rheme and Cohesion/Coherence which may be notable in the translation, they are our topics in later sections.

As we have seen, all those five passive clauses have been translated into Chinese as active or at least formally active clauses. (There can, of course, be other translations, but the current one shows at least one possibility of rendering the original in a natural way.) In (1) a non-specific subject *renmen* (people) is used, so the translation, active as it is, presents the information (process) in the predicate as a fact or truth instead of as a concrete action or any particular person's choice, an effect achieved in the original by using the information-loaded *attention* as the subject; also it is in the nominal group instead of the verb that the process is encoded.[1] All the other four passive clauses in (3), (4) and (5) have been rendered as zero-subject active clauses in Chinese. With subjects absent, they perform the same actor-deleting function as passive voice in English.

Apart from those actor-deletions involved in voice-transfer mentioned above, one may also note three goal-deletions accompanying the actor-deleting in transferring the passive clauses to active, as in:

[3.10] and [3.10 tr]

(3) No one notices when *it is done properly* but it is quite obvious when *it is not*!

Zuo hao le shui ye buhui zhuyi, ke *zuo cha le* you xianyan de hen!

('[*You*] *do* [*it*] *properly* no one will notice, but [*you*] *do* [*it*] *badly* [it is] quite obvious!')

(5) *This is done* to 'soften' the shadows, which are not so hard on the eye.

Zheyang zuo shi wei-le shi guangying rouhe, rutushi bu zhiyu xiande name ciyan.

('[That *you*] *do* [*it*] *this way* is to make the shadows soft, as shown in the picture [they] do not appear so hard on the eye.')

Statistically, of the five actor-implicit passive clauses in the original, four are transferred in the Chinese version to actor-implicit active clauses, of which three are goal-implicit. Taking into account as well another two cases of subjectlessness in relational processes:

[3.10] and [3.10 tr]

(3) ...it is quite obvious...

...xianyan de hen!

([it is] quite obvious)

(5) ...which are not so hard on the eye.

...bu zhiyu xiande name ciyan.

([they] do not appear so hard on the eye)

we can see that the amount of implicit information increases considerably in translating the passage into Chinese. But on the other hand, the information in the verbs or complements, which has been (part of) the Rheme in the English text, has been much foregrounded in Chinese by front-positioning. With implicit actor and goal (provided

they are inferable from the context) Chinese syntax seems to be able to concentrate more on the action, the process. The text consequently appears more 'action-packed', though in some cases it is very difficult to predict the occurrence of the actor or goal in a clause, as in the case of zero-pronoun, which we shall touch upon below.

3.2.1.2 Zero-pronoun versus full pronoun: a functional analysis

Li and Thompson (1979) have made an interesting analysis of zero-pronoun cohesion in Chinese discourse. The meaning of the analysis extends beyond its initially intended application to the use of the third-person pronouns, as seen in my preliminary observation of 'implicit viewpoint' (Zhu 1992:69-70), which should not be thought specific to Chinese classical poetry either. This, in a broader sense, goes beyond the domain of pronouns if it is viewed from the standpoint of implicit-/explicit-agent in transitivity process. In their article (p.327) Li and Thompson observe a 'considerable variation' among native Chinese speakers with regard to the placing of pronouns in discourse (eg between clauses/sentences). They rightly argue (p.322) that:

> the non-occurrence of anaphoric arguments in discourse must be regarded as the normal, unmarked situation. Thus it is the occurrence of pronouns in Chinese discourse that must be explained.

(For a parallel argument in relation to Japanese ellipsis and English pronouns, see Hinds 1986: ch.1.)

This is supported by my observation (Zhu op. cit.:69) of the use of pronouns in Chinese classical poems. Li and Thompson (op. cit.:320)

also note that the interpretation of zero-pronouns in Chinese discourse should be based on 'pragmatic information provided by the discourse and our knowledge of the world',[2] a phenomenon later summed up by Huang (1991:331, 332) as: (typologically) 'pragmatics appears to play a central role' and 'may override grammar' in Chinese.

So at least in translating from English into Chinese, pragmatic information-presentation may override the consideration of grammaticality, especially when grammaticality is judged from the grammar of English, that is, using English grammar as the yardstick of permissible as opposed to non-permissible combinations of lexicogrammatical units below the sentence.

But it is not as simple a case as that. My comparative re-examination of examples (13) and (16) in Li and Thompson (op. cit.:328, 329), which have been positioned at the two ends of a cline of preference from zero-pronoun to full pronoun, shows that a pronoun as the subject of a clause often occurs at a point of divergence in discourse development. By stating or reiterating the subject the writer is presenting an action process in its entirety, intending it, for instance, to be a twist or a surprise (hence marked) element in discourse. Let us consider Li and Thompson's example (13) first:

[3.11]

Zhangsan jin-le da men, tuo-le dayi, zuo-xialai

('Zhangsan entered the main door, took off his coat, and sat down')

where information is distributed chronologically in the three clauses. The combination of the actions is perfectly within the cognitive schema

of, say, homecoming or friend-visiting. The sentence unfolds without any divergences as all the actions are quite predictable and the agent is the same, given the right context. Probably this is why the sentence is raised as a case in which zero-pronoun is preferred in the last two clauses. But full pronoun is preferred in one of the last two clauses if the combination of the actions appears in some other situation where the discourse does not develop so much in line with the 'assumed normality of the world involved' (van Dijk 1977:99).

Suppose Zhangsan entered a very cold place where everybody was walking around to keep warm with their coats on. In such a situation Zhangsan's taking off his coat and sitting down would be rather out of place and contain an element of surprise, which could push the progress of the discourse in a different direction. A full pronoun *ta* (he) is preferred at such a turn to set the agent of the unexpected actions apart (highlighting):

[3.11 i]

Zhangsan jin-le da men, ta tuo-le dayi, zuo-xialai

('Zhangsan entered the main door, he took off his coat, and sat down')

And suppose Zhangsan is expected to start working as a cleaner as soon as he arrives, his sitting down would then be a twist in the discourse and a full pronoun would be preferred to usher in the unexpected action (with due syntactic adjustment):

[3.11 ii]

Zhangsan jin-le da men, tuo-le dayi, ta zuo-xialai-le

('Zhangsan entered the main door, took off his coat, and he sat down')

Our analysis above thus offers another angle to explain why in Li and Thompson's (op. cit.) example (16):

[3.12]

Congqian you yege ren jiao Zhangsan, ta neng fei

('Once upon a time, there was a person called Zhangsan. He can fly')

'a zero-pronoun is decidedly less appropriate'. It is because between a human's name and the ability to fly there is a big element of surprise. This also explains why in [3.9] above (the photographic text) and its Chinese translation there is extensive agent deletion, in English achieved through passive clauses and in Chinese through zero-subject (zero-pronoun in a broader sense) active clauses. It is not difficult to see that so far as normal series of photography-related actions are concerned, there is no element of surprise and no change of agent.[3]

The writer is thus expected to prepare readers for a frustration of their expectations in discourse development with (over and above items of formal marking of divergence such as *but*) a confirmation of the agent. Different discoursal intentions may result in different choices. In Chinese it is between a full pronoun and a zero pronoun or between a full-subject clause and a zero-subject clause. In English it is between active voice and passive voice or between agent-explicit process and agent-implicit process. Translators in consequence have to scrutinise those formal features to find indicators of a communicative

intention, not just by serendipity but by trained discoursal awareness. For instance, in translating from Chinese into English, it is more important to consider whether and how the occurrence of a pronoun at a certain juncture in the translation will affect the conveyance of the original's unstated information, than to dwell on whether it should occur at all grammatically. As for those translating from English into Chinese, it is more meaningful to make positive use of pronouns (zero or full) to communicate the original's implied meaning, than to resign themselves to the purported erratic nature of pronoun distribution in Chinese discourse.

3.2.1.3 Chinese versus English: 'markedness' in discourse

For translator as well as for discourse analyst, 'the main interest of the text is what it leaves out' (Halliday 1978:60). In this connection we see emerging from our discussion above a distinctive difference in information presentation between English and Chinese, which though it has been well observed in remarks on the terseness of the Chinese language (eg Owen 1985:126, Lin 1972:7 and Graham 1965:13), is still in need of a systematic elucidation. Although such an undertaking is quite beyond the scope of the present study, it is useful to extend our discussion a little to include some indicative tendencies.

Putting a text in one language alongside its translation in the other, one immediately notices in the Chinese text the absence of such linguistic features, or fetters, as tense, case and number. Even the occurrences of cohesion-devices such as connectives and prepositions are less frequent than in English, apart from ellipses of functional components such as agent and goal in a clause as we have observed. But Chinese as a language is by no means less effective than English

because of this 'ungrammaticality' from an English point of view. One of the reasons, if not the only one, is that in Chinese, by grammar or by pragmatics, information contextually predictable, inferable or comprehensible is normally treated as unmarked and tends to be left implicit, unless there is an interactive implication. This is really a broader version of the Gricean (1975) Maxim of Quantity: Make your contribution of information as required by the communication - not too much or too little. On the other hand, if such elements have been inserted explicitly, they may acquire a status of markedness, carry implicature or have a function of, for example, highlighting.

For instance, 'reflexive possession' is unmarked. So *He washes his hands* in Chinese reads 'He wash hands'. One need not state one's own possession of something but has to specify others'. In Chinese you can say 'He sit at desk' to mean *He sits at his desk* in English, but you have to make explicit 'He sit at his uncle's desk'. And if you do say 'He sit at his (own) desk', you will probably imply that *He is not in anybody's way* or some similarly context-generated implicature. In Chinese narrative discourse, bringing a normally implicit possessive pronoun to the surface can be a device to distance the narrator or reader from the character in question as it by definition highlights the exclusiveness (a kind of internal evaluation device in Labov's (1972) terms). The attitudinal subtlety in the following sentence (ie the protagonist's annoyance at a stranger's staring at his girlfriend Yishan) by surface-marking the possessive pronoun *tade* (his) is virtually impossible to translate into English by a similar syntactic means, simply because the pronoun in this case is compulsory in English anyway and is therefore unmarked:

[3.13] #

Nage pangren dui Yishan kan-le ji yan, suiran meiyou wang-le jixu he *tade* tang.

('That fat:man at Yishan looked a:few looks, although did not forget to continue to drink *his* soup.')

(Yu Lihua: *Youjian Zhonglü Youjian Zhonglü*, ch.15, my emphasis)

[3.13 tr]

The fat man cast a few glances at Yishan, though did not forget to swill his soup.

The unmarked versus marked presentation of information is active in the sphere of number and deserves attention in translating, too. In Chinese, on the whole, if the number is unmarked in information presentation, it is intended to be left out of focus, as in:

[3.14]

Ta qu mai shu ('He went buy book(s)').

In this sentence, the noun *shu* (book) is nonreferential and the number therefore is of no importance and can be left inexplicit. Indeed, the sentence answers questions such as 'What did he go to buy' and 'What did he go to do' instead of 'How many books did he go to buy'. The statement thus exempts the speaker from the specification of either singularity or plurality, leaving it open to be contextually conditioned in an English translation where the specification is grammatically required:

[3.14 tr]

He went to buy a book / He went to buy some books.

In both Chinese and English, if the number is marked, it creates an information centre in its own right, and the two languages seem more compatible in this respect:

[3.15]

(1) *number specified*

Ta mai-le yi-(liang-, san-, etc)ben shu

He has bought one (two, three, etc) books;

(2) *general plural*

Ta mai-le xuduo (haoduo, henduo, etc) shu

He has bought many (a great deal of, a lot of, etc) books.

One point must be underlined, however. For those sentences in [3.15] above there are accompanying forms in which the number is less marked in the written and unstressed in the spoken:

[3.15 i]

(1) *singular*

Ta mai-le (yi-)ben shu

He has bought a book (as against *one book*);

(2) *plural*

Ta mai-le yi-liang-ben shu

He has bought a couple of books,

Ta mai-le (yi-)xie shu

He has bought some books (which is neutral in attitude).

In [3.15 i], with the number less marked, the object stands out. That is, those markers, indefinite in nature, mark the object (book) as the new information instead of claiming the number as the focus of the sentence. In spoken language, the shifts of attention are usually clearly marked by intonation, and the corresponding written marker becomes obvious, as in the following group of sentences which show how the sentential focus shifts from the action (going) to the number and then to the object (book) with the choice of different markers:

[3.16]

(1) Ta *qu* mai shu

('He has gone out to buy book');

(2) Ta mai-le *yi-ben/xuduo* shu

('He has bought one/many book(s)');

(3) Ta mai-le (yi-)ben/(yi-)xie *shu*

('He has bought a/some book(s)').

From [3.16] above it can be seen that in Chinese a number fully marked by, say, the complete form of a unit word collocation or plural marker (as in (2)) tends to occupy the focus of the information, while a partially marked number as in (3) seems more ready to pass the focus on to the noun it modifies. Thus the functional performance of the number in information presentation enables us to be more aware of the interactional dynamic of the unit word collocation and the plural marker in Chinese syntax, instead of following rigidly the rule laid down by those grammarians who consider that a unit word '*must* occur with a number and/or a demonstrative, or certain quantifiers before the noun' (Li and Thompson 1981:104).

Our argument is reinforced by one of the two translation principles (though by no means to be taken as dogmas) mentioned by McDougall (1991:63) in her discussion of translating contemporary Chinese literature into English, namely, '[the Chinese text has to be treated as] singular unless clearly plural'. If we are allowed to interpret *clearly* as *marked*, then it becomes more evident that 'singular' in Chinese is normally unmarked and *yi* (one) can be optional in a unit word collocation, obligatory only when there is a neccessity to specify the number. 'Plural', marked by items such as *xie* (some), *(xu)duo* (many) and *chang* (often), is usually more explicit. It must be pointed out, however, that such observations can be overridden by more general conventions such as 'What is contextually or logically inferable tends to be implicit', and 'What is informatively unimportant can be left implicit'.

The other principle of McDougall's, that is, 'definite unless clearly indefinite' (ibid), by the same token, pertains to the fact that in Chinese the indefinite is marked while the definite is unmarked. In this sphere, the two languages appear to be more compatible.

In English the definite demonstrative, which refers to known information but does not specify its identity, is unmarked; so is it in Chinese, where it is represented with zero-marker (ie staying grammatically implicit), especially in homophoric cases. That is why the article *the* in [3.4] above does not have an equivalent in [3.5], and *Ta zuoye zuowan-le* ('He homework has done' - He has done the homework) is acceptable, a situation that does not have much to do with the fact that there are no articles in Chinese.

Among the definite items, deictic markers such as *this* and *that* are more marked than *the*, and usually translated into Chinese with their equivalents *zhe* (this) and *na* (that). If *the* stands for either of

them, for instance in anaphoric and cataphoric cases, it becomes more marked and may have to be treated as either *this* or *that* in translating. (For a more detailed analysis of the functions of *this*, *that*, and *the* in English, see Halliday 1985:292-93, and on *it*, *this* and *that*, McCarthy (in press).)

So far as the indefinite is concerned, it refers to new information both in English and in Chinese and thus functionally is more marked than the definite, although the marking itself may be formally different between the two languages. In English the indefinite article *a* is usually enough; while in Chinese the marking has to be done not only by lexical means such as a unit-word collocation but also, more often than not, by syntactic positioning. Thus *A door opened* in Chinese has to be something like '*You (yi-)shan* men kai-le' or '*Yi-shan* men kai-le' ('[There is] a door opened'), to mark the *men* (door) as new information (referential and indefinite).

This tendency, ie that unmarked elements remain implicit and that explicit ones are functionally marked, can be seen extensively at work in Chinese as a device for discourse development as well as a grammatical feature, and is important for our subsequent discussion.

3.2.2 Thematic structure and information structure

One of the most significant and delicate tasks of the translator, as we have been trying to demonstrate, is to discern the discoursal message in the choice of information-presentation. The message in the SL text to be translated lies in the interactivity between optional Given Information and obligatory New Information realized in the functional form of Theme

+ Rheme. Since Theme + Rheme is speaker/writer oriented and Given + New is listener/reader oriented (Halliday 1985:278), the correlation between the two is actually the pivot on which the interactional dynamic of a SOM operates. As a linguistic fact this is true in both English and Chinese; but as a textual operation, it may work out differently in the source and the target languages, because the thematic structure varies with the grammatical structure and has an important bearing on the information presentation which, in turn, affects and is affected by the world knowledge system, or experiential gestalt (Lakoff and Johnson 1980), of the respective audiences. In this connection, a comparative analysis of the workings of thematic structure and information structure between the two languages can be useful in deciding upon a matching form to carry out the relay communication of translating.

3.2.2.1 Unmarked and marked theme in English and Chinese

To start with, we assume that in both English and Chinese the theme or topic is the word/phrase that occupies the sentence-initial position as the point of departure in the writer's presentation of information (the message), and that the theme (or topic element, although theme and topic are not entirely synonymous) is the prominent element, the 'aboutness' of a clause (see Halliday 1973:109, 1985:38, 42; McCarthy 1991a:52; Li and Thompson 1981:15-16, and sec. 4.1.1).

Here a digression is needed in order to align our comparison of the information distribution between Chinese and English, by clearing up some contradictions between Li and Thompson's (1981) definition of *topic* and their application of the notion to 'movable adverbs' in Chinese.

According to Li and Thompson:

> a topic [semantically] sets a spatial, temporal, or individual framework within which the main predication holds... [and it] must be either definite or generic... [and formally] a topic always occurs in sentence-initial position (unless it is preceded by a connector that links it to the preceding sentence)... [and] can be separated from the rest of the sentence (called the *comment*) by a pause or by one of the *pause particles* ... although the use of the pause or the pause particle is optional.
>
> (Li and Thompson 1981:85, 86)

Such a definition of topic in Chinese syntax, which we endorse, coincides to a large extent with the definition of Theme given by Halliday (1985:38, 39). This enables us to include in the framework of theme the Chinese syntactic topic as a kind of theme, or as part of multiple theme which involves elements such as connector, to facilitate our present comparative study. In their application of *topic* to the discussion of 'movable adverbs' in Chinese, however, Li and Thompson show an inconsistency by saying that movable adverbs 'may occur either before or after the topic or subject of a sentence' (op.cit.:320), which needs to be re-examined here. Topic-comment is a system different from the traditional case grammar that consists of subject, predicate, attribute and adverb, and the systems have to be kept distinct from each other in describing the syntactic facts. Therefore it is right to say that movable adverbs can occur either before or after the subject as within the subject-predicate system, but when an adverb occurs in the sentence initial position (ie before the subject), it is intended to 'establish a frame', a point of departure, for the unfolding of the sentential information, and should be treated accordingly as the

topic/theme of the sentence in question. In Hallidayan terms (1985:53ff), adverbs in initial position are part of theme and an initial adverb of time, place or manner would constitute an ideational element, and would mark the final component of theme, whether simple or multiple.

In the case of declarative clauses, we also assume that the unmarked theme/topic in Chinese, as it is in English (Halliday op. cit.:45), is the one mapped on to the subject, ie 'the noun phrase that has a "doing" or "being" relationship with the verb' (Li and Thompson 1981:87). For instance (1)-(6) in [2.1] present an unmarked thematic pattern:

[2.1]

(1) Ta chi fan.

A - V - O

He eats (a meal).

A - V - fw - O

(2) Ta chi fan le.

A - V - O - fw

He has started eating.

A - fw - V - O

(3) Ta chi le fan.

A - V - fw - O

He has eaten (a meal).

A - fw - V - (fw - O)

(4) Ta fan chi le.

A - O - V - fw

He *has* eaten his/the meal.

(5) Ta ba fan chi le.

A - fw - O - V - fw

He *has eaten* the meal. or

He has eaten the meal.

A - fw - V - fw - O

(6) Ta ba fan gei chi le.

A- fw- O - fw - V - fw

He has *eaten* the *meal.*

A - fw - V - fw - O

A marked theme/topic is one other than subject-theme, eg an adverb or complement. As for zero-subject and zero-pronoun clauses in Chinese, they are considered here textually unmarked (as contextually inferable elements are unmarked and remain implicit) but thematically marked (as the theme is something other than the subject; see also the discussion below). It is worth stressing here again that the subject is merely formally implicit, not ideationally nonexistent. McCarthy (1991:51-52) has illustrated various fronting devices in English which highlight different elements by placing them in the front of a clause. Among them we notice that a cleft (it-theme) clause in translating into Chinese has to be rearranged to the effect of a wh-pseudo-cleft clause:

[3.17]

It's *The Guardian* Joyce reads.

↓

Qiaoyisi du de shi *Weibao.*

↓

What Joyce reads is *The Guardian.*

The difference lies in the surface form only, the focus of the information conveyed remains the same. But it should be noted that much more informative weight tends to be put in the end-position in Chinese syntax. (I am not here including those elements described as 'tails' by Aijmer (1989), where evaluation seems to be a key reason for choosing final rather than initial position). Take [3.17] for instance: in the Chinese clause, which contains an unmarked theme, the end-positioned *Weibao* has acquired, through *de shi* construction, a communicative thrust that is strong enough to match that of its counterparts in the two English clauses, which have been highlighted by a marked-theme pattern.[4] Such end weight attributed to Chinese syntax helps to explain some differences between the thematic schemes of the two languages.

For instance, the principal process is normally treated as informatively the more important element, hence circumstantial modifiers such as time and location are usually fronted in Chinese syntax to a topical position, as it were, to 'set the scene' for more important action, while in English such frontings are more marked, and 'the motive is thematic' (Halliday 1985:57).

Let us consider the following Chinese clause:

[3.18]

Shangxingqitian women qu gongyuan

('Last Sunday we went to park').

It contains a marked temporal topic/theme in the English sense, but the syntactic pattern in Chinese can still be deemed unmarked, as 'movable adverbs' like *shangxingqitian* (last Sunday) can very well occur either

before or after the subject. As a result, the clause is frequently put on an equal footing with:

[3.19]

Women shangxingqitian qu gongyuan

('We last Sunday went to park'),

which has an unmarked topic/theme. Actually the two patterns have been treated exactly the same in Li and Thompson's English translations of the examples (1981:321).[5] The two patterns, never the less, indicate some discoursal niceties that should not pass unnoticed by a sensitive translator, especially after we see the discoursal difference between the English pair:

[3.20]

Last Sunday we went to the park (marked, about 'last Sunday'),

[3.21]

We went to the park last Sunday (unmarked, about 'we').

In general contexts, the marked [3.18] appears closer to the marked [3.20], both being about 'last Sunday', while [3.19] to [3.21] are about 'we'.

If the consequence is considered more newsworthy (which it normally is) than the cause or condition, in Chinese the unmarked order is used, ie Cause/Condition + Consequence, eg 'yinwei *x* suoyi *y*' (because *x* therefore *y*), which gives the consequence the importance of rhematic end-weight. In English, the reversed is the unmarked, that is, Consequence + Cause/Condition, eg '*y* because *x* ', where the

consequence is thematically oriented. The two patterns differ thematically, but are textually equivalent to each other. This is seen in the translating of (3) in [3.10], that is, from an unmarked English pattern of Consequential Clause + Hypothetical Clause to an unmarked Chinese pattern of Hypothetical Clause + Consequential Clause:

[3.10] and [3.10 tr]

(3) No one notices when it is done properly but it is quite obvious when it is not!

Zuo hao le shui ye buhui zhuyi, ke zuo cha le you xianyan de hen!

('[You] do [it] properly no one notices, but [you] do [it] badly [it is] quite obvious!')

Generally speaking, in Chinese syntax the (principal) process in a clause or sentence seems to receive more emphasis than in English. This happens, for instance, in zero-subject clauses where the verb is given the thematic status.[6] Different placing of emphasis in syntax as such can affect the translating of an agent-explicit passive clause, the value of which in English, according to Nash (1980:108), is that 'it allows the writer to give end-focus and end-weight to an agentive item'. The value is much impaired in translating into Chinese, where the agent is grammatically middle-positioned after the topicalized goal while the end-focus and end-weight are given to the verb, as in (9) and (10) of [2.1]:

[2.1]

(9) Fan rang/gei/bei ta chi le

('The meal by him has been eaten').

(10) Fan rang/bei ta gei chi le

('The meal by him has been *eaten*').

The thematic patterns in interrogative clauses in English and Chinese also reveal different placements of information prominence and need to be discussed here as well.

3.2.2.2 Wh-question and yes/no question analyzed

If we take, for example, wh-questions (called *question-word questions* in Chinese grammar), in both languages the interpersonal function (ie mood choice) is mainly performed by the interrogative marker, the wh-element or question word that also stands for the piece of information wanted.[7] The difference is that in an unmarked English question the interpersonal wh-element inevitably enjoys thematic status while in Chinese, the thematic structure remains the same as a declarative clause, and the interpersonal element is slotted in where the supply of information is intended to be. So *Who won?* can remain 'Who won?' in Chinese (since it is the subject slot which is to be filled), but *Which do you want?* has to be 'You want which?' (since the missing information pertains to the object) and *How can I get there?* 'I how can get there?' (since the information wanted modifies the verbal group).

As for polar interrogative clauses (called *particle questions* in Chinese grammar, as they are signalled by a sentence-final particle such as *ma*), Halliday (1985:47-48, 54) has observed that the theme in an unmarked yes/no interrogative in English contains an interpersonal element which is the fronted finite verb that expresses polarity, plus an ideational element that is the subject (eg 'do you' in *Do you smoke?*). Such a pattern is frequently confirmed interpersonally by means of a

rising intonation contour at the end of the clause. On the other hand, a basic unmarked Chinese interrogative presents a thematic structure identical with that of declarative clause. It works in a way that suggests almost that the declarative is switched suddenly at the end to interrogative by a mood auxiliary word such as *ma* and *ne*, as seen in Figure (3.1) below:

Figure (3.1)

English	Does	he	go to school	[/]?
Chinese	-	Ta	shangxue	ma?
	Inter- personal (Theme 1)	Ideational (Theme 2)	Ideational	Inter- personal
	Theme		Rheme	

As a tonal language, Chinese has a strict four-tone system which is responsible for the semantic meaning of a character or word and has virtually nothing to do with the mood of the utterance. So we may say that the four tones in Chinese belong to the language's ideational (lexicogrammatical) system while tones in English via intonational contours realise interpersonal and/or textual functions (see McCarthy, 1991a:ch. 4). Although in Chinese, as in English, 'it is always possible to turn a declarative statement into a question by using a slightly rising intonation pattern' (Li and Thompson 1981:520), the intonation system in actual use can be much modified by the built-in ideational four-tone system of the language.[8] So it is not surprising that in Chinese speech modulations to express interpersonal effects by means of, say, loudness, time duration and pitch have to rely, far from

occasionally, on mood auxiliary words such as *ma*, *ne*, *ba* and *a* ('ah') to make function explicit. These particles significantly opt out of the ideational four-tone system to make room for the expression of the speaker's interpersonal stance. As we have seen in Figure (3.1) above, the end-positioned auxiliary *ma* has grammatically turned a declarative clause into an interrogative while in English the interpersonal function is shared between two constituents, ie, syntax and rising tone.

In a sense, the thematic structure of a tag question in either English or Chinese performs its interpersonal function in a way similar to an unmarked Chinese polar question; that is, by a heavy weighted tag a declarative may be switched at the end of the clause to an interrogative. In view of this, a tag question in either language can be regarded as a marked form of a polar question. Interpersonally speaking, it interrogates to confirm, meaning 'I want you to confirm whether my assumption is right or not'. In English, a tag with a falling tone may express more certainty or assume more shared knowledge than one with a rising tone (see McCarthy 1991a:106). In Chinese the interpersonal meaning can be expressed respectively by tags with two different mood auxiliary phrases (*shi ma* and the more definitive *shi ba*) without changing the thematic structure, apart from other tags such as *shi bu shi* ('Yes?') and *dui bu dui* ('Right?'). See Figure (3.2) below.

The existence of an unmarked polarity (y/n) alternative in both cases shows the possibility of rendering a seemingly unmarked yes/no question in one language as a tag question in the other, and vice versa, without impeding the realization of the illocutionary purpose, although this by no means suggests an automatic compatibility of the two types of questions in translating. And Figure (3.3) gives a further example.

Figure (3.2)

	Assumption (Ideational)			Interrogation (Interpersonal)
English 1	-	He	goes to school,	doesn't he[/]?
Chinese 1 Cf: (y/n)	- -	Ta Ta	shangxue, shangxue	shi ma? ma?
English 2	-	He	goes to school,	doesn't he[\]?
Chinese 2 Cf: (y/n)	- -	Ta Ta	shangxue, shangxue	shi ba? ba?
	Inter-personal (Theme 1)	Ideational (Theme 2)	Ideational	Interpersonal
	Theme		Rheme	

Figure (3.3)

English	Will	you	tell me a story	[/]?
Chinese 1	-	Ni	yao gei wo jiang ge gushi	ma?
Chinese 2	-	Ni	gei wo jiang ge gushi (,)	haoma?
	Inter-personal (Theme 1)	Ideational (Theme 2)	Ideational	Inter-personal
	Theme		Rheme*	

* Note here the problem of postposition owing to the difficulty of dividing rheme into rheme and postposition because of the desirability in the present study to incorporate the intonational element in English and the post-posed particle or phrase in Chinese as

elements on the same level of analysis. The intonational element is not in any sense post-posed since it is realized within the tone-group of the clause itself.

The English clause in Fig. (3.3) is an unmarked polarity interrogative. If it is rendered into a similarly unmarked question (Chinese 1), the question would perform an illocutionary act of inquiry (about intention); and if the marked Chinese 2 is selected, the question tag would perform an act of pleading. An awareness of illocutionary act as such is important in, for instance, dialogue translation.

Although the 'unmarked' thematic patterns of interrogatives in English and Chinese present an interesting case of thematic 'displacement', they do not normally pose a problem in translating between Chinese and English. For it is not difficult to work out a list of corresponding types of interrogative clauses between the two languages; and a translator's job seems to be one of matching the right types. The marked thematic patterns, however, usually carry more interpersonal weight and need to be carefully assessed in terms of information deployment. The translation of interrogative clauses may thus become less straightforward.

The English clauses in Figure (3.4) below are given by Halliday (1985:48) as examples of 'marked themes'; the Chinese versions, which follow exactly the same thematic pattern, are virtually the only thematic option that is available for the ideational meaning.

A translation that would match literally the thematic pattern of the unmarked *Will you tell me a story after tea?* or *Who does the cooking in your house?* is unacceptable in Chinese, as Chinese syntax requires the fronting of circumstantial elements, unless in very rare cases they are end-positioned as an afterthought and thus become evidently marked and must occupy a separate tone group. There does

exist in Chinese a syntactic possibility to give the subject the status of theme, but this will greatly alter the referential content of the clause, as seen in Figure (3.5).

Figure (3.4)

English 1	After tea	will you tell me a story?
Chinese 1	Chi-guo chadian ('Eat:past tea	(ni) gei wo jiang ge gushi, hao ma?* (you) for me tell a story, OK')
English 2	In your house	who does the cooking?
Chinese 2	Nijia ('Your:house	shui zuo fan? who does cooking')
	Theme	Rheme

* We use only one of the options listed in Fig. (3.3) to illustrate the thematic pattern.

Figure (3.5)

Chinese 1	Ni ('You	chi-guo chadian gei wo jiang ge gushi, haoma? after tea for me tell a story, OK')
English 1	Will you	tell me a story after your tea?
Chinese 2	Shui ('Who	zai nijia zuo fan? in your:house cook')
English 2	Who	is cooking in your house?
	Theme	Rheme

In English, there is another kind of 'marked theme' in interrogatives, which is mapped to the subject of the clause, hence adopting a declarative pattern similar to that in a Chinese interrogative clause. See Figure (3.6):

Figure (3.6)

'You	realise that in winter you will be surrounded by miles and miles of mud	[/]?'*
'You	paid	how much[/]?'**
Ideational	Ideational	Inter-personal
Theme	Rheme	

* Clare Colvin 'All Living Things'.

** Commercial advertisement in the *Beeston Express*, 7 Aug. 1992.

The examples in Figure (3.6) show that in day-to-day English discourse (and fictional dialogue), a marked interpersonal effect can be achieved by omitting the interpersonal Theme 1 in yes/no questions (eg to make them sound more definitive) and back-shifting the interpersonal wh-element in wh-questions (eg to give the subject a more prominent position). Such marked patterns are similar to the unmarked in Chinese, which means in any prospective Chinese translations that follow the original thematic arrangements, the interpersonal effects are liable to be neutralized. In other words, marked pattern should be translated with marked pattern, with thematic structure adjusted if necessary.

In Chinese, one way to mark a yes/no interrogative is by fronting the interpersonal element (except the question mark) to the position before or after the verb, especially when the interpersonal meaning is strong. See Figure (3.7) for instance:[9]

Figure (3.7)

'You	realise		that in winter you will be surrounded by miles and miles of mud	?'
# 'Ni	zhidao	ma/ba,	dongtian yilai nimen zhouwei bianshi wubianwujide nining	?'
Idea-tional	Idea-tional	Inter-personal	Ideational	Inter-personal
Theme	Rheme			

An unmarked Chinese wh-question, as we have said, adopts the matter-of-fact declarative thematic pattern. But when there is an emotional ingredient (e.g. surprise, anxiety) in the conversation, a marked pattern is not infrequently heard, which achieves a stronger interpersonal effect by raising the wh-element to thematic status. See Figure (3.8):

Figure (3.8)

You	paid	how much?
Ideational	Ideational	Interpersonal/Ideational
# 'Duoshao qian ('how much money	ni mai-xialai-le you bought [them at]')	?
Interpersonal/Ideational	Ideational	Interpersonal
Theme	Rheme	

3.2.3 Cohesion and translation

Reprocessing information in translating a clause should be based not only on grammatical consideration of the language in question, which goes no higher than the level of sentence, but also on the relation between the clause and other parts of the text, ie the co-text. If we assume that the distribution of information in the SL text has given the text cohesion and coherence, then we will expect the translator to see to it that the distribution of information in the TL text, whether in a similar or different deployment, renders the text into a cohesive and coherent unit. Translating the beginning sentence of Jane Austen's *Pride and Prejudice* offers a good example for our analysis.

[3.22]

> It is a truth universally acknowledged, that a single man in possession of a good fortune, must be in want of a wife.

On the one hand a historical analysis of the sentence's punctuation provided by Nash (1992:51-53) has helped us appreciate the delicacy of the 'dimension of feeling'. On the other hand a perception of the violation of the Gricean Maxim of Quality, (Do not say that for which you lack adequate evidence or what you believe to be false.) points to an implicature of irony in the sentence (see Leech and Short 1981:303, and Carter 1987a:195-196). Apart from that, we have also noted that the delivery of the attitudinal information, whether it is one of not-so-obvious delicacy or one of specific irony, has been enhanced within the sentence contour. This is achieved firstly by syntactic cohesion through the parallel and antithetical structure *in possession of ... in*

want of, secondly through the lexical cohesion of *possession* and *fortune*, and thirdly through phonological cohesion by the alliterative *in want of a wife*. Compare:

[3.22 i]

It is a truth universally acknowledged, that a wealthy single man must need a wife.

These features have to be taken into account in translating, as the sentence 'sets the tone for the rest of the novel' (Leech and Short op. cit.:303). But there is another syntactic ordering of information made possible by English grammar, which facilitates the discoursal function of the sentence as the opening utterance of the whole story. That is, by postponing the *that*-clause the sentence not only adopts a more natural right-branching pattern (see Nash 1980:114-16 for a discussion on the right-branching pattern), but also creates a suspense: the reader's curiosity may be aroused by that high-sounding, or 'lexico-syntactic overloading', proclamation. With this 'given' information, the sentence proceeds to give the content of the 'truth' as 'new' information, which the reader is expected by the author to refute or keep distance from. The presentation of information can be interpreted as similar to:

[3.22 ii]

A truth universally acknowledged (Theme/Given) ‖ is that a single man in possession of a good fortune must be in want of a wife (Rheme/New).

This is an open-ended distribution: Assertion + Enunciation, which will interpersonally accentuate the readers' interest by posing a mock challenge to their belief in life. It constitutes, so to speak, a compelling doorway to the discourse edifice of the novel as a whole. Compare:

[3.22 iii]

> That a single man in possession of a good fortune must be in want of a wife (Theme/Given) ‖ is a truth universally acknowledged (Rheme/New).

in which the syntax is head-weighted, the information pattern is close-ended bordering on something like Observation + Conclusion, and the sentence thus looks 'sliced-off' from the rest of the novel.

Now let us consider a Chinese translation.

[3.22 tr.i] #

> Fanshi youqiande danshenhan, zong xiang qu wei taitai, zhe yijing cheng-le yi-tiao jushigongrende zhenli.

Back-translated into English, it reads:

[3.22 iv]

> Every moneyed bachelor always wants to take a wife, this has already become a universally acknowledged truth.

Apart from a downgrading in register, the cohesion of the TL text seems to have been impaired firstly by its failure, as in [3.22 i], to match the

original's cohesive strategies and secondly by its adoption of a marked left-displaced-subject ordering, which appears even more decisively close-ended than [3.22 iii]. Also, some inaccuracies have caused the translation to drift further afield so far as the implicit information is concerned. For instance, *must be in want of a wife* is quite different from *always wants to take a wife* as the former entails a (social) necessity while the latter pertains to the (personal) intention or desire; the original is modalized, the translation is not. *Has already become* carries an implication that the idea has been gaining currency, which sounds like a committed remark imposed on the original and the ironic tone is diluted as a result of that.

Here is a proposed version:

[3.22 tr.ii] #

Zhe yi-tiao zhenli jushigongren: danshen nanren yongyou yi-da-bi caichan, jiu biding xuyao yi-ge taitai.

(This is a truth universally acknowledged: a single man in possession of a good fortune, must be in want of a wife.)

Our proposal is intended to illustrate the possibility of maintaining the original's process of information while still remaining well-formed and natural Chinese, as the result of an awareness of the sentence's role in the novel's discoursal organization. This is possible because 'the organization of text is semantic rather than formal, and much looser than that of grammatical units' (Halliday 1985:290), and it is the semantic configuration cemented by cohesion, rather than the grammatical formation bound by rules, in an SL text, that is to be

relayed in translating. It is, however, worth noting that information presentation, especially the 'dimension of feeling', is often enhanced by the register and formal features; and the active and conscious use of the target language by the translator, to a great extent, means engineering such a formal enhancement in the translation. The proposed version has attempted to show an awareness and an effort to redress the register and redeem the cohesive devices within the lexicogrammatical and phonological contour of the Chinese language.

3.3 TEXTUAL ORGANIZATION OF INFORMATION IN TRANSLATING: AN EXAMPLE

3.3.1 A thematic analysis of the SL text

So far we have illustrated and analyzed *some* of the issues of reprocessing information in translating, mainly on the sentence level. Since the interactional dynamic has a lot to do with information presentation and distribution, ie the disposition of information foci and the withholding and releasing of new information, on the global as well as local levels, the problems and possibilities involved are far too many to be exhausted in our current study. It is advisable, never the less, to further our discussion and make it more useful by tracing the process of translating on the discourse level. For this purpose we shall borrow a group of concocted postcard texts from McCarthy (1991a:53-55), and his analysis will serve as our point of departure in our thematic interpretation and actual translation of those texts into Chinese. (The

clauses of the texts have been re-arranged in list form for the convenience of our present analysis.)

[3.23]

(1) I'm sitting here at my desk writing to you.

(2) Outside my window is a big lawn surrounded by trees.

(3) and in the middle of the lawn is a flower bed.

(4) It was full of daffodils and tulips in the spring.

(5) You'd love it here.

(6) You must come and stay sometime;

(7) we've got plenty of room.

As a postcard message, the global theme is YOU the addressee, about 'you' to visit 'I', which occupies the focal position of the text. In other words these are examples of what Berry (1989) refers to as 'interactional' themes. But this feature is delayed until the final part because of the speech act the text is intended to perform. The discoursal speech act is that of persuasion, which entails equality of the role relationship in interaction. This determines the mode of presentation and distribution of information throughout the text, (ie the ordering of sentential or clausal speech acts). The text works itself out in this way: Setting-up of Relation (1) + Involvement (through detail description) (2)-(4) + Transition (through evaluation from the presumed addressee's point of view) (5) + Persuasion (6) + Assurance (7). The sequence serves the illocutionary purpose of the text, and should be observed in translating for the same purpose. For instance, sentences (1)-(5) might not be as necessary as, say, the information concerning Time had it

been a case of invitation; and only sentence (6) would be needed had it been an order.

Tracing the organization of the text step by step, we can see that sentence (1) is apparently ideationally redundant, as what it does seems no more than stating a self-evident fact, (for which the existence of the postcard will speak eloquently), nothing contradictory to the norm of letter-writing. But its being there at the beginning of the text plays an important interpersonal role, which is to establish or confirm the communicative relation. The implicature in such flouting of the Gricean Maxim of Quantity is probably 'I am thinking of you'. Also it sets the tone for the text, which is one of leisurely conversation, owing to its reduced semantic density in comparison with the amount of information it carries. For instance, 'sitting here at my desk' does not seem obligatory as opposed to say 'standing there by his dining table'. But the phrase is there not for nothing. Just imagine how the text would sound to the addressee had it been 'I am writing to you'. The tone once set prevails, though the semantic density picks up as the text develops. The tone as such prevents sentence (6) from being interpreted as an order, although, in isolation, it sounds like one. Last but not least, the opening sentence is thematically significant, as from the detail 'at my desk' one is likely, subconsciously, to develop a 'room image' (from one's own schema of letter writing in a study, bedroom, or office, etc.) which normally contains a window-element. So the theme of sentence (2), 'outside my window', is experientially, though implicitly, connected with part of the rheme of sentence (1). This is one of the reasons why [3.23 i] and [3.23 ii] below are thematically unsatisfactory.

Sentences (2), (3) and (4) are devoted to details. As for the relation between details and propositional information in narrative texts, Tannen (1989:139) makes a useful observation:

> If communication were only a matter of conveying information, then the [details] would not add materially to the story. ... And yet [the details] do contribute to the story; they *make* the story.

This holds in our current discussion as well. The reason for the presence of those details in the text, besides the function of spatial orientation mentioned by McCarthy himself, is that what they provide are not only factual details to convince, but also immediate details to involve. The immediacy implies the self-involvement of the writer with the visual perception and mental recollection accompanying the writing, which, in turn, works to create an interpersonal involvement, by putting the reader 'in the picture' through the visual details in sentences (2) and (3) and 'in the time' through the temporal depth in sentence (4). So, what is globally a detail can be locally an informative focus and should be treated as one in its own right. The three sentences are clearly such a case.

If sentence (1) is about 'I' (the theme) and sentence (2) starts a series of clauses about 'outside my window' (the theme of (2)), then the cohesive hinge on which the two parts hang together is the word *my* which contains an element of the theme of sentence (1). Now, after the presentation of details, there is a strategic need for a switch of focus to 'you', whom the whole text is about. The transition is found in sentence (5), where 'you' is given thematic prominence. Meanwhile, in the rheme the new information contains a mental process of reaction.

'love', (for mental process of different kinds, see Berry 1975:152), which forms an emotional connection between the new theme 'you' and what the previous sentences are about: 'it'.

Sentence (6) is the illocutionary focus of the text, the climax in the discoursal development. Sentence (7) supports the persuasion in sentence (6) with an assurance. It is noticeable that the theme of sentence (7) has switched back to 'I' but extended to the plural form 'we', so the clause finishes off the text with an implication of a promise (of a pleasant stay) and an invitation.

Thematic structure offers another perspective for us to see how information distribution in the text has helped the execution of the illocutionary acts, 'as a means of creating topic frameworks and as an example of audience orientation' (McCarthy op. cit.:56). The two thematic patterns that stand out in the postcard text are: (a) the serial or linear pattern, where the rheme of the previous clause contains an element that becomes the theme of the following clause, which is seen in sentences (2)-(4), where detail descriptions occur; (b) the repetitive or reiterated pattern, where the theme of a clause is repeated as the theme of the following clause(s), which is seen in sentences (5) and (6), when the text develops into direct persuasion.

[3.23] is set, in the original source (McCarthy op.cit.), against a 'highly unlikely' version [3.23 i] and a 'jejune' one [3.23 ii]:

[3.23 i]

Me, I'm sitting here at my desk writing to you. What's outside my window is a big lawn surrounded by trees and it's a flower bed that's in the middle of the lawn. When it was full of daffodils and

tulips was in the spring. Here you'd love it. It's you who must come and stay sometime; what we've got is plenty of room.

[3.23 ii]

I'm sitting here at my desk writing to you. A big lawn surrounded by trees is outside my window and a flower bed is in the middle of the lawn. It was full of daffodils and tulips in the spring. You'd love it here. You must come and stay sometime; we've got plenty of room.

A comparative observation of the three texts enables us to see more clearly that it is the form that communicates, if we agree that the texts contain the same propositional information and intend the same illocutionary act of persuasion. It is noticeable that in [3.23 i] and [3.23 ii], as the result of unmotivated use of fronting devices and impoverished management of information presentation, there is a want of cohesive description of the writer's visual and mental experience in a linear progression of orientation, as the one effected by the serial pattern of thematization in [3.23] (see Linde and Labov (1975) for comments on typical realizations of such listener-orientation in spatial descriptions). There is also a lack of involving rhythm as well as the appropriate thematic prominence secured by the repetitive pattern of thematization as found in [3.23]; although the effects of repetition may not be evident in a short text like this. (For more extensive accounts of the effects of repetitive patterns in terms of communicative involvement strategy, rhythm, attitudinal evaluation, see eg Tannen 1989:2, 3, 29, 37, and 50-51; Carter 1987a:103; also Ishikawa 1991.)

3.3.2 A thematic comparison of the SL text and its translation

So far we have given an account of the interactional dynamic of [3.23] in terms of its discoursal illocutionary intention in relation to the constituent local illocutionary acts and thematic arrangements. We are not claiming that this is a typical formation of the speech act of persuasion on the text level with typical supportive sub-acts distributed in an ideal thematic structure. Instead, we recognize it as an actual realization of a discourse act with persuasion as its purpose, and its formation is appropriate and effective to the purpose (as in comparison to [3.23 i] and [3.23 ii]). In other words, we claim its textual completion and communicative competence as a cohesive and coherent unit. This is our point of departure in translating the text into Chinese, sentence by sentence, with a clear idea of the significance of each one in contributing to the discourse act as a whole.

[3.23] and [3.23 tr] #

(1) I'm sitting here at my desk writing to you.

(tr) Wo zhe huir zheng zuo zai shuzhuo bian xie mingxinpian gei ni.

('I at this moment am sitting at [my] desk writing [the] postcard to you.')

(2) Outside my window is a big lawn surrounded by trees,

(tr) Chuangzi waibian shi yi-da-pian shumu huanraode caoping,

('[My] window outside is one-big-[unit] tree-surrounding lawn,')

(3) and in the middle of the lawn is a flower bed.

(tr) caoping dangzhong shi ge huatan.

('[the] lawn in:the:middle is [unit] flower:bed.')

(4) It was full of daffodils and tulips in the spring.

(tr) Chuntian-shi huatan-shang kai-man-le huangshuixian he yujinxiang.

('[In] spring-time flower:bed-over opened-full daffodils and tulips.')

(5) You'd love it here.

(tr) Ni hui xihuan zher de.

('You'd like [it] here.')

(6) You must come and stay sometime;

(tr) Ni sheme shihou yinggai lai zher zhu-shang yizhen;

('You sometime must come here [and] live for a while;')

(7) we've got plenty of room.

(tr) women fangzi hen kuanchang.

('We[,] [our] house [is] quite spacious.')

Since [3.23] and its Chinese version are culturally and discoursally compatible, that is, they observe a similar process of perception (orientation) and communication (persuasion), we can concentrate on how the interactional dynamic is maintained in a natural and effective rendition by thematization and other discoursal means discussed so far, at the sentence as well as at the discourse level.

In translating sentence (1), we have to bear in mind its interpersonal meaning in the whole text and how it sets the discoursal tone by reduced semantic density when we look at its sentential informative pattern. Though in the translation redundancy is as abundant as it is in the original, for the sake of textual naturalness, it may contain different ideational meaning (using different redundant

information to perform a similar interpersonal function). *Here* being replaced by *at this moment* is a good example. By the same token, the reflexive possessive *my* in this sentence as well as in sentence (2) goes implicit, while *postcard* has been brought to the surface because an object is grammatically required in Chinese in this case.[10]

In sentence (2) the most cohesive theme for both Chinese and English versions is 'outside (my) window'; the translation would sound as odd as [3.23 ii] had 'the lawn' been fronted to the thematic position. Serial thematization supports the cohesion between sentences (2) and (3) as 'the lawn' becomes part of the theme of sentence (3).

The omission of the co-ordinator *and* in sentence (3) is worth noting, as it affects the thematic interpretation in the two languages and the translating between them. Conjunctions such as co-ordinators and subordinators, according to Halliday (1985:51), are 'inherently thematic' (with what follows still having thematic force), but it is the meaning of these items that is chosen by the speaker/writer each time to link relevant clauses. The last point is of particular importance in translating, as the words expressing those meanings can be assigned thematic status in one language, eg English, but left implicit in another, eg Chinese. (Note in Li and Thompson's functional grammar of Chinese, conjunctions are not taken as part of the topic.) For example, as observed by Nida and Taber (1969:14), the conjunction *kai* in typical Semitic Greek, like *waw* in Hebrew, appears at the beginning of many sentences, while their English equivalent *and* is far less used in sentence-initial position in 'good' written English usage. In Chinese, the purest meaning of *and* in connecting parallel structures is usually 'iconicized' by the juxtaposition of the structures concerned. Therefore the meaning of connection tends to appear more marked (eg

adversativeness, emphasis) in translation if *and* is translated explicitly into Chinese. (See the sample text in Note 10 above for an example of the much less frequent use of conjunctions in Chinese discourse.)

Sentence (4) offers an example of thematization of circumstantial components as the norm in Chinese syntax. If in the English text the phrase *in the spring* has been assigned an unmarked position at the end of the sentence as part of the rheme, in the Chinese translation it is raised to the thematic position as required grammatically.[11] Although 'flower bed' is no longer the subject, it retains its thematic status as a constituent of the complex theme (about 'in the spring' and 'over the flower bed'). The Chinese sentence is actually a zero-subject one, which postpones the actors (daffodils and tulips) to the end as part of the rheme, and in this case enables the sentence to be about 'in the spring' and 'over the flower bed', which fulfils the thematic expectation of the text. Consider other options:

(a) Huatan-shang chuntian-shi kai-man-le huangshuixian he yujinxiang.
('Flower:bed-over [in] spring-time opened-full daffodils and tulips.')

which contains a marked adverbial sequence 'place-time', which puts 'flower bed' in a more conspicuous thematic position.

(b) Chuntian-shi huangshuixian he yujinxiang kai-man-le huatan.
('[In] spring-time daffodils and tulips opened-full the flower:bed.')

Here the re-arrangement of information process makes the presentation thematically less preferable.

(c) Huangshuixian he yujinxiang chuntian-shi kai-man-le huatan.
('Daffodils and tulips [in] spring-time opened-full the flower:bed.')

Here once more we see that the placing of an adverbial in Chinese affects its coverage, or scope, as it ideationally modifies the (immediately) following element(s). The adverbial *chuntian-shi* (in the spring), originally at the beginning of the sentence to modify the whole transitivity process, in this case governs only the action and the goal. The resultant interpretation of option (c) could be something like 'In other seasons daffodils and tulips bloom over other places'. The option is thus informatively misleading, thematically confusing and communicatively incompetent.

The issue of adverbial position frequently comes to the fore in translating because of the flexibility and indefiniteness of the scope of the adverb in question. This can be illustrated by sentence (6), where it is difficult to demarcate the coverage of *sometime* - whether it starts from *You ...* or just *must come and stay*? This opens up two options in placing *sometime* in a Chinese translation: either at the beginning to cover the whole process:

(a) *Sheme shihou* ni yinggai lai zher zhu-shang yizhen.

or after the subject *you* to modify the predicate only:

(b) Ni *sheme shihou* yinggai lai zher zhu-shang yizhen.

Both sound equally valid ideationally, but thematically they are different, as option (a) is about 'sometime' (topic-based) while option (b) is about 'you' (interactional). So the decision in our translation is made from the point of view of thematic coherence.

Thematic coherence, which plays an important role in discoursal cohesion, can be examined only beyond the sentence level (see, eg, Giora 1983). This further substantiates our argument that a translation should be finalized on the text/discourse level, although the sentence is a technically more manageable platform. Sentence (7) is translated on the level of sentence with little word-for-word correspondence. However, the consideration of thematic coherence insists on the choice of 'we' as the theme so as to attach the sentence to the text at large. This rules out other options that contain the same ideational meaning but have other element(s) as the theme, eg *Fangzi women zher hen kuanchang* ('House, we here [is] spacious'). The selected option in our translation has 'we' as the topic, while 'house is spacious' consists grammatically of a 'subject + predicative adjective' construction to form the comment confirming something about 'we', who send the invitation.[12]

Looking at [3.23] and its Chinese translation, we can see that their thematic patterns have a striking similarity in coherence (eg serial from sentences (2) to (4), parallel between sentences (5) and (6)). This illustrates the communicative neccessity and linguistic possibility of observing thematic coherence on the discourse level in translation between English and Chinese, although there may be various local adjustments owing to factors such as different thematic systems in interrogative sentences, presentation of information (explicit versus

implicit), and distribution and thematization of circumstantial components, in the two languages.

In conclusion, we can say now with confidence that the interactive message in a text as a constellation of illocutionary acts or as a system of thematic coherence is translatable. This is the second dimension of the SOM in translating, on the material basis of the first dimension. In the third, we shall consider the aesthetic aspect of the SOM, which consists in not only information presentation, but information manipulation, that is, transformation by translator's design, to produce correspondent stylistic effects.

Notes

1. *Pay* in this case, like the delexical verbs in many phrases of the kind in English (e.g. *take a look*), is information-free apart from information inherited in the verbal categories such as tense (For 'incongruent expressions' like this, see Halliday 1985:section 5.6.2, and p.327); while in phrases like *pay a bill*, it plays an informative role as well as a syntactic one, because it represents the process.
2. They consider, for instance, that a switch between background information and foreground information may affect greatly the occurrence of a pronoun.
3. Our argument here coincides with a later analysis by Li and Thompson (1981:662, 663), which takes into consideration the element

of unexpectedness and the function of highlighting in the use of full-pronouns in Chinese.

4. Incidentally, syntactic patterns such as '...de shi...', 'Shi...de', and '...shi...de' in Chinese are much used devices to arrange information elements, which need more systematic study in terms of their information-distribution functions than what appears in Li and Thompson (1981:sec. 20.3) and in our discussion of [3.7 tr], [3.8 tr], [3.9 tr] and [3.17] above.
5. Chinese syntax normally does not have circumstantial adjuncts end-positioned, unless they are thrown in as something of an after thought (usually separated by a comma), which forms a highly marked pattern. And a clause like 'Women *qu-le* gongyuan, shangxingqitian' means 'We have been to the park, (it was) last Sunday'.
6. Zero-subject is a phenomenon existing on a much limited scale in English, apart from imperative clauses where the action, instead of the actor, is given the focal prominence, and where the imperative verb is considered as theme by Halliday (1985:49).
7. Ideational and interpersonal contents overlap in a wh-element, but for our discussion in this section, we concentrate more on the interpersonal function of a wh-element and will classify it as such.
8. Chao (1968:39) has compared syllabic tone and sentence intonation of Chinese with 'small ripples riding on large waves (though occasionally the ripples may be "larger" than the waves', and concluded: 'The actual result is an algebraic sum of the two kinds of waves'.
9. The applicability of such a treatment is evident when we consider the following marked questions which are packed in a short passage

in the first chapter of Julian Barnes *A History of the World in 10½ Chapters*:

> You presumably grasped that the 'Ark' was more than just a single ship? ... It rained for forty days and forty nights? ... And the waters were upon the earth for a hundred and fifty days? ....

The marked pattern of interpersonal elements has been used in our proposed Chinese translation of these questions, in which the fronted interpersonal components have been emphasized for attention: #

> Ni zonggai dongde *ba*, na 'Fangzhou' buzhi shi dan-dan yi-tiao chuan? ... *Shi-bu-shi* xia-le sishi tian sishi ye de yu? ... Shui *shi-bu-shi* ba ludi yan-le yibai wushi tian? ....

10. For comparison see this opening sentence of a Chinese 'love letter' (Danru Jushi, in *People's Daily (overseas)* 7 Aug. 1992, p.6), in which the communication starts with a strikingly similar sequence of information presentation, apart from the sentimentally charged modification typical of the love-letter genre. In this sentence we may also notice how the syntactic suppression of the reflexive possessive *wode* (my) until the end of the sentence has helped the focusing of the emotional outlet, *wode xinsheng* (the sound of my heart): #

Youshi zai jijingde yueye zhixia, wo zuozai xiaozhuo qian, naqi bi, wang-zhe chuangwai de na yi-lun qingcheng-mingmeide yuanyue, jing-jingde xiang ni qingshu-zhe wode xinsheng. ('Again under [a] tranquil moon:night, I'm sitting at [my] little:desk, taking-up [my] pen, looking:at outside:[my]:window that limpid:charming round:moon, quietly to you pouring:out my heart:sound.')

11. *Ta* ('it') is much less used in Chinese than in English as subject; and by the habitual 'time-place' sequence of adverbials in Chinese, the phrase has to be put before the 'place', ie 'over the flower bed'. See Note 5 for the imppossibility of end-positioning the circumstantial elements.
12. The sentence is sometimes called 'double-subject sentence' (see Li and Thompson 1981:sec. 4.1.4).

Chapter IV

Aesthetic Impact: The Individuality of a SOM

In the previous chapters, we have discussed the first two dimensions of the Structure of Meaning (SOM) presented in a text, that is, the Linguistic Composition and the Interactional Dynamic. Here we have to point out that the arrangement of topics in our discussion follows a sequence that reflects our priorities. For instance, the Interactional Dynamic can be approached fruitfully in terms of explicit/implicit information presentation only after we have identified the Syntactic Bearer, Information Carrier and Stylistic Marker in the linguistic domain, ie, the composition of text. So each time we concentrate on one of the dimensions in a chapter, we have to analyze it with sufficient reference to the other dimensions, as the organic nature of textualization allows none of them to be dealt with in isolation. And in this chapter on the aesthetic impact, it may be helpful to stress once more that the discussion is based on those in the previous chapters; in other words, the topic of the aesthetic impact which completes the structure of meaning requires us to view a text as a full three-dimensional unit but with our main attention on its third dimension. In so doing, we will be able to talk about, say, the aesthetic impact in terms of 'information manipulation' by the original author and corresponding manipulation by the translator to match the original's effect, because we have looked at different possibilities of 'information presentation' facilitated by the linguistic resources of a language in the last chapter.

4.1 DISCOURSAL APPROPRIATENESS: FORM AND EFFECT

The aesthetic consideration, both in spoken and in written text, belongs to the interactional domain. Or, to put it the other way round, 'there is no speech that lacks aesthetic structuring entirely' (Drière 1957:91), be it a casual-spontaneous or well planned, contrived piece of writing, or a literary text, which may not look so contrived and can wear a mask of casualness and spontaneity, as long as it is looked at from a communicative point of view. And even a real-life monologue (as against a theatrical one) can be interpreted as (an attempt at) communication between the two halves of the speaker's self (on the essentially dialogic nature of 'monologue', see McCarthy and Carter (in press) ch.1).

The difference is that the aesthetic dimension of a well written text always appeals more strongly to the reader (hence the translator) than that of a badly written text. As a result, the former is more likely to be approached as a three-dimensional structure, the latter a two-dimensional one. If no informative meaning can be derived from a text, then the text is deemed as a one-dimensional 'nonsensical text', which in its own right is not within our topic of translating; even the sound effect (if any) without sense should not claim the attention of a translator.

Well-writtenness, however, is not to be assessed in isolation. Since every text can be taken as a product, or actualization, of a certain way of thinking and behaviour, social as well as personal, the well-writtenness of the text as a textual property should be viewed in terms of discoursal appropriateness to a higher rank such as genre. Genre,

as an expression of social convention, serves to provide a relative. dynamic framework for the use of a language in social communication.

This is the textual aesthetics in a broader sense, which we assume in our current discussion. Because this is the basic guarantee that a poem, for example, will remain a poem, and a public notice a notice, after being translated into the target language. Generally speaking, a text which does not comply with the existing formal requirements of the intended genre can be deemed either as a badly-written one (thus falling out of our current discussion) or as an [aesthetically] original piece of work whose intended effect has to be taken into account in translating. But different genres in different language communities at different periods of time grant different degrees of formal originality or creativity to a writer (author and translator). This presents a continuum with, for example, legal documents and laboratory reports at the one extreme and poetry at the other. And taking poetry as a genre believed to provide the most generous ground for authorial creativity, it is still subject greatly to the changes of time and taste; modern poetic genres generally grant more formal freedom than classical ones.

Discoursal appropriateness as such, to a large extent, explains why in translating some types of text, especially those having less formal flexibility, the translator has to adjust the formal features of the SL text in order to keep the TL text well-written in the new social and linguistic environment, and in translating others having more formal flexibility, the translator has to show more creativity to stay closer to the aesthetic originality of the SL text. Also this explains why in the history of translation, certain methods have been favoured in certain periods and cultures while others have dominated other periods and cultures. In other words, moving the reader or moving the text (see

Owen 1985:121), the solution to this question is relative, and has much to do with the perception of discoursal appropriateness.

It is worth noting, then, that within this broader aesthetic framework of discoursal appropriateness, there are text types which, besides passive good writing within the generic confines, encourage the writer to take advantage of the generic tolerance and violate [part of] the conventional requirements with marked syntax and unusual connotations to express his/her personality and reflect 'the reality outside language or of the writer's mind' (Newmark 1988:16). This practice in turn creates certain effects on the reader. These are texts in a sense actively well-written, with a positive reaction on the formation of the genres they belong to, and complying to the generic requirements on a higher level, ie, the requirements of creativity and originality. The active good writing as such can be treated in terms of literariness (eg Carter and Nash 1983, Carter 1987b), or described as aesthetic 'language exploitation' as against passive 'language use' (Leech and Short 1981:28). But what concerns us now is how the textual aesthetics in a strict sense will challenge and facilitate the practice of translation, as the linguistic form of such texts is not only to convey ideational information but to communicate an effect on the mind, feelings and emotions of the reader.

Therefore, in this chapter we will refer to this active language (and in parallel, information) manipulation, ie textual aesthetics in a strict sense, as the dimension of *aesthetic impact* of the SOM. We shall argue that in translating a literary text, it can be of vital importance (Raffel 1988:167).

Linguistic devices in this dimension of the SOM, such as marked collocations, marked syntax and various figurative expressions, are the

means available to the writer to manipulate the information presentation in the text by releasing or highlighting some items and downplaying, withholding or delaying others, sequencing them in a desired order ('arresting' and 'releasing' in Sinclair's (1966) terms). The design is not simply out of linguistic necessity but rather for an interactive involvement of the reader, by performing a certain (unstated) perlocutionary act. The aesthetic impact created textually is hoped or intended to remain in the reader's emotion and perception even after the information reduction in 'macro-interpretation' (on information reduction, etc, see van Dijk 1977:239). This, to a large extent, serves as a footnote to the classic belief of the Chinese that good writing should render the meaning lingering beyond the boundary of the text. Such an effect is brought about mainly by the unstated information in the text symbolized or represented by the 'interaction of [linguistic] levels, particularly in the form of contrasts', as noted by Carter (1987b:443). 'The necessity of filling in' such information is crucial in literary reading (Tannen 1989:23), and can even be 'the main interest of the text' at large (Halliday 1978:60).

It is, then, of primary importance for the translator to create, in translating, a SOM with a matching aesthetic impact on the TL reader. This can be done only by a parallel process of original manipulation of the TL linguistic resources to ensure a similar information presentation to that in the SL text, so long as such a presentation will involve (at least as the translator sees it) the reader in a way intended by the SL author.

There are various textual means to attain an intended aesthetic impact. Among them three are outstanding: syntactic formation, semantic figuration, and sound, shape and sense. These are respectively the

topics of the following sections. In the last chapter we have looked at the differences between the Chinese and English languages in terms of syntactic features in information presentation. In this chapter what interests us will be the relation between the aesthetic impact, the information presentation and the syntactic operation. Under the topic of semantic figuration, we will analyze the translation of different types of metaphors or tropes from the perspective of function and effect. The concern of sound, shape and sense is perhaps specific to translation between Chinese (and/or typologically similar languages) and English, and we will explore the field for challenges and possibilities the translator may encounter.

4.2 IMAGES IN FIGURATIVE EXPRESSIONS: FUNCTION AND EFFECT

The importance of the translation of figurative expressions is widely recognized, and has been repeatedly observed by Newmark to be 'at the centre of all problems of translation theory', and 'the main feature of imaginative writing' (Newmark 1981:94, 96, 186; 1988:104, 113). He also points out rightly that:

> Metaphor [ie any figurative expression] is the link between the expressive and the aesthetic function. Through images, it is also language's only link with four of the five senses; ... metaphor connects the extra-linguistic reality with the world of the mind through language.
>
> (Newmark 1988:43)

Since figurative expressions contribute so heavily to the aesthetic impact of a text, their translation deserves a study not only based on the traditional classification but also, and probably more significantly, in relation to the functions they have intended to perform and the effects they have achieved. In this connection, it is the image a figurative expression evokes that would alert the translator to its function and effect in the original and the possible difference that may occur in this respect when the expression is translated into a new cultural and linguistic environment.

4.2.1 The communicative function of figurative expressions

The use of imagery or metaphorical representation in a language plays a fundamental role in its development as 'a natural process of linguistic change' (Halliday 1985:321). As Newmark (1981:84) observes, 'language itself is a metaphorical web'. The researcher investigating any language may well see in a word a full story of semantic evolution, although an ordinary user of the language may show no interest in the image in a word/phrase that crops up day in, day out. After all, the primary function of figurative expressions is communication and understanding (Forster 1958:15; Lakoff and Johnson 1980:36), often making referential meaning clearer and more comprehensible by 'the use of material images to suggest immaterial relations' (Fenollosa 1936:22). Here is the point of departure for the translator as researcher and user of language(s) in a special sense, as in translating a figurative expression one has to work first of all from 'the organic link between words, meaning, and the

things of the world' (Owen 1985:45) presented in the image of the expression.

The cumulative effect of the (original) imagery in a text not only 'suggests a particular perception' of the existing reality (Hatim and Mason 1990:4), but in turn creates a new and deeper reality with cultural implication (Lakoff and Johnson 1980:145). And if such a new reality acquires a universal significance, (usually it does with the extensive cultural exchanges and the rapid development of high-tech media nowadays), the imagery can generally be easier to translate than other textual elements such as syntax, lexis, sound effect and background culture (Newmark 1988:165, Graham 1965:13, McDougall 1991:46).

In communicative contexts, however, figurative expressions while exhibiting a strong and useful explanatory power, can be ambiguous as well. In this case their interpretation has to rely heavily on the reader's subjective judgment (Newmark 1981:25, Leech 1969:148, 215). But sometimes the non-literal or non-true statements commonly involved in metaphoric uses of language can be so (SL) culturally conditioned or even biased that the TL reader may fail, in Carter's (1987a:119) terms, to 'rescue their falsity'. In communication through translation, the translator may thus be called upon to neutralize the situation by clearing up ambiguity with the supply of necessary cultural information.

4.2.2 Metaphors: a functional classification

As we have mentioned above, for a more effective translation of figurative language, the traditional classification of figures of speech

does not provide an adequate framework for investigation. However, the consideration of formal features of a figurative presentation does suggest a very useful demarcation between two types of figures of speech. These are semantic 'tropes' with meaning transferred and syntactic 'style figures of speech' (Tannen 1989:22) without meaning transference. The latter, which derive their effect mainly from syntactic devices and thus can be regarded as formally marked, will be dealt with below in a separate section.

As for tropes, attempts at a functional classification from different points of view are by no means rare in cultural, linguistic, literary, as well as translation studies.

For instance, Leech (1969:158) offers a classification of metaphors by their semantic functions (with the first three overlapped):

(1) The Concretive Metaphor, eg 'room for negotiation';
(2) The Animistic Metaphor, eg 'an angry sky';
(3) The Humanizing or Anthropomorphic Metaphor, eg 'friendly river';
(4) The Synaesthetic Metaphor; 'a warm colour'

From a cultural point of view, Lakoff and Johnson provide a complex set of classifications. The first line seems to have been drawn between metaphor and metonymy (including cultural and religious symbolism). The former is 'principally a way of conceiving of one thing in terms of another, and its primary function is understanding' while the latter 'has primarily a referential function ... [but] also serves the function of providing understanding' (Lakoff and Johnson 1980:36, 40). Within the category of metaphor, they have identified subsets consisting

of structural metaphor, orientational metaphor and ontological metaphor (which includes the container metaphor (op. cit.:14, 25, 29)). Also there is a social-aesthetic division between the conventional metaphor and the new metaphor (which covers the 'poetic metaphor') (op. cit.:152, 235).

Newmark's (1981: ch.7) investigation has been in close relation with intercultural translation, and has yielded a group of categories such as 'dead metaphor', 'cliché', 'cultural/stock metaphor', 'universal metaphor' and 'original metaphor'; apart from notions such as 'anthropomorphic' (personification) and 'reific' (mental to physical), which are related to the nature of metaphors.[1]

The great variety and diversity of attempts at classifying figurative expressions, of which the aforementioned represent only a small part, carry a warning of the complexity of the work. On the other hand, however, all these attempts are useful and contribute to a more comprehensive background for our understanding of the matter. In the following discussion we shall adhere to the much more straightforward three-tier textual-functional classification provided by King and Crerar (1969:92-93).

Since metaphor presents a key issue in the broad category of tropes, we will concentrate on metaphor and its translation in our application of King and Crerar's (op. cit.) functional classification. But occasionally we may use the term metaphor loosely, as necessitated by the argument and permitted by common practice, to cover virtually 'any figurative expression'.

Using the image 'plough', King and Crerar (op. cit.) cite three sample sentences to illustrate three kinds of metaphor: dormant or dead metaphor, stale/half-dead metaphor and alive/new metaphor:

(1) Dormant/Dead metaphor: 'A ship ploughs the sea';

(2) Stale/half-dead metaphor: 'Time ploughed deep furrows on his brow';

(3) Alive/New metaphor: 'His mind is a blunt plough in a dry field'.

Of course, a functional classification is more dynamic than a formal one, and no attempt at a clear-cut demarcation between the supposed functions can be a feasible exercise, even in an intracultural context. The whole matter can be much more subtle and complicated when it comes to the domain of intercultural translation.

4.2.3 Metaphors: comprehension and translation

The effectiveness of an image depends on various factors such as the semantic connotation, the context (including co-text, genre, socio-cultural conventions) and the reader, or rather what Leech (1969:162) calls, the reader's 'mental set'. And in the case of translation, the translator has to weigh up a metaphor also on the scale of discoursal appropriateness, ie the subject matter and intention of the SL text as a whole, and its acceptability in the TL environment.

On a more local and personal basis, moreover, translators have to ask themselves from time to time: (1) What attitudinal and/or emotional message has been intended and conveyed in a particular image? (2) Has the author made the intention (if any) clear, or (deliberately) kept it ambiguous? (3) Why has the author decided on this metaphor as against other possibilities? (See Halliday 1985:321 for the meaningfulness of

metaphor selection.) If translators themselves feel (intuitively) the impact of the image, they have to make an effort to obtain a clearer understanding of their own emotional process in order to perceive the workings of the impact and to decide whether and how such an effect should be passed on to the TL reader.

This, to a large extent, is a question of making sense of a metaphor before translating it. And the 'sense' of a metaphor, according to Newmark (1988:105), is the area where the 'image' and the 'object' overlap. For the analysis of a metaphor, Leech (1969:151, 154-55) suggests a three-stage process, on the assumption that 'every metaphor is implicitly of the form "X is like Y in respect of Z", where X is the tenor, Y the vehicle, and Z the ground'. That is:

Stage I: Separate literal from figurative use;
Stage II: Construct tenor and vehicle, by postulating semantic elements to fill in the gaps of the literal and figurative interpretations;
Stage III: State the ground of the metaphor.

As we may have noticed, Stages I and II are more technical in nature while Stage III is subject greatly to the intuition of the analyst. That is why the interpretation of a metaphor has to be guarded by two factors further related by Leech (op. cit.:157), ie, context and the principle of 'maximizing the ground of the comparison', or, in Newmark's (1988:105) terms, the overlap of the image and object.

The more extensive and significant the ground is, the more ideational sense, interpersonal meaning (eg cultural message, emotional/attitudinal implication) and aesthetic value a metaphor will

produce. Therefore, the significance of the ground presents the foundation of our functional classification.

The ground of a dead metaphor usually passes unnoticed. For instance, who has bothered to notice that in English a day is perceived as a horizontal (linear) process, while in Chinese it is a cross? That is, in English a day proceeds from 'forenoon (morning)' to 'noon (midday)', and to 'afternoon'; while in Chinese it falls from 'shangwu' ('above:noon' - morning) to 'zhongwu' ('mid:noon' - midday), and to 'xiawu' ('below:noon' - afternoon), but horizontally, there are 'wuqian' ('noon:before' - 'pre-noon': the [short] time immediately before midday) and 'wuhou' ('noon:after' - 'post-noon': the [short] time immediate after midday).

The ground of a half-dead or stale metaphor tends to be taken for granted in the culture in which it is embedded. But it can be strange in another culture. And here the problem of translation occurs. A classical example used to be how 'snow-white' or 'ice-cold' can be understood by a tropical community if people there have not seen snow or ice.

An original or alive metaphor conceives more often than not a ground of some unexpectedness, once it is identified. Since such a metaphor embodies a new way of perceiving and experiencing the world and elevates the reader emotionally to a new realm, it is one of the principal sources of the aesthetic impact of the SOM, and a lot of gains and losses can occur in its translation. Probably this is why Newmark (1988:164) advises the translator to reproduce original metaphors 'scrupulously, even if they are likely to cause cultural shock', and elsewhere he puts reproducing the image as the top preference in his list of procedures for translating metaphors (Newmark 1981:88-91).

So far as metaphors in general are concerned, their functions are performed largely first through the image and then the information they contain, rather than the form they have taken. This opens up other possibilities such as retaining the original's image in a different form, eg simile (with or without a gloss), changing the image to match the cultural information, and deleting the image because it offers no fresh insight.

To examine the translation of different types of metaphor, we are to return to our plough-image sentences and attempt to translate them into Chinese.

If dead metaphors belong to the hard core of the convention of a language, they can be treated conventionally. Effortlessly, we can translate:

[4.1]

A ship ploughs the sea

by a sentence containing a dead image of 'breaking waves' in Chinese:

[4.1 tr]

Yi-shou chuan zai haishang polang qianjin

('A ship on the sea breaking:wave advances').

The image of 'breaking waves' appeals to the Chinese reader no more than 'ploughing the sea' to the English reader. So a case as such does not present a translation problem so long as a matching expression is not difficult to find in the target language. A half-dead, or stale, metaphor, however, may need much more attention from the translator,

although it is still within the scope of conventional language. This is because first of all the image in a half-dead metaphor, though stale or cliché, is more expressive than a dead image or literal representation. Secondly, metaphors of this kind exist extensively in the idioms, phrases and proverbs of a language and are open to different readings in different contexts. As a result, translation of this category is often left at the mercy of the translator's intuition. And whether to keep the original's image or not can produce a very different effect. For instance:

[4.2]

Time ploughed deep furrows on his brow

can be translated conventionally as:

[4.2 tr.i] #

Suiyue zai ta e-shang liuxia-le shenshende zhouwen

('Time on his brow left deep wrinkles'),

which borders on a dead image of personification; or in another way which keeps the image of 'plough':

[4.2 tr.ii] #

Suiyue zai ta e-shang lixia-le yi-daodao shen gou

('Time on his brow ploughed lines of deep furrows').

which may give the reader 'a dig in the ribs' (King and Crerar op. cit.) as the original has. That an image can arouse different responses in

different languages is a fact frequently turned to translators' or even general writers' advantage. For instance, few Chinese readers would remain indifferent to the wit and vividness of a phrase that reads 'sleep, huddling together like spoons', which actually is an 'unconventional' translation of the stale image in the English idiom 'sleep spoon-fashion'.

The image in an alive or original metaphor, which is a stylistic marker as well as information carrier, should normally be preserved in the TL text, whenever possible. This certainly does not mean that the translation should always be a *formal* duplication of the SL figure of speech, as shown in our translation of [4.3], which turns the metaphor into a simile:

[4.3]

His mind is a blunt plough in a dry field;

[4.3 tr] #

Tade naojin jianzhi xiang handili de dun litou

('His mind [is] simply like in:a:dry:field [a] blunt plough').

Culturally speaking, as Newmark (1981:49) has noted, the more original a metaphor is, the easier it is to retain its image, as such metaphor is less embedded in the national culture. But aesthetically, almost every alive or original image is a subtle marker of the style of the SL text and has to be assessed against its textual background as a whole before translating. To illustrate the point, we shall examine in greater detail some images in a more complicated literary text:

[4.4]

> ... a bright rosy-colored space, [fragilely bound into the house by French windows at either end. The windows were ajar and gleaming white against the fresh grass outside that seemed to grow a little way into the house.] A breeze blew through the room, blew curtains in at one end and out the other like pale flags, twisting them up toward the frosted wedding-cake of the ceiling, and then rippled over the wine-colored rug, making a shadow on it as wind does on the sea.
>
> (F.S. Fitzgerald: *The Great Gatsby*)

As Parkinson (1988:46) has noted, 'Fitzgerald uses colour to convey characteristic quality or emotion'. And this passage is devoted to a detailed description of the Buchanans' mansion, full of images of colour and movement, before the unfolding of the story. It is worth noting as well that here the ceiling is likened to frosted wedding-cake, while the rug is likened to wine and sea. The two groups of images are linked together by the breeze, which is made visible through flying curtains. With the place referred to as 'space' instead of, say, size-related *hall* or *room*, the occupants seem to have been amplified, or transformed (by wealth) into enormous grandeur. The couple, the text seems to suggest, live between a heaven of wedding-cake and a sea of wine. Both images, marriage and wine are, incidentally, important motifs in the novel as a whole.

The two Chinese versions , back-translated into English with the purpose of retaining those key images, read as follows:

[4.4 i]

> ... a spacious, bright, rosy-coloured room. ... A breeze blew through the room, blew the curtain in at one end and out the other, like white flags flying towards the frosted-wedding-cake-like decoration of the ceiling, then brushing gently over the deep red rug, leaving a shadow as wind does on the sea.
>
> (translated from Wu Ningkun's version)

[4.4 ii]

> ... a bright rosy-coloured hall, ... A breeze blew through the room, raising the curtains gently; those curtains, like numerous white flags, flapping and flying, twisted towards the snow-white ceiling which looked like a wedding-cake; then the breeze flicked softly over the reddish purple rug, leaving a layer of shadow like the sea touched by wind.
>
> (translated from Fan Yue's version)

Newmark (1981:11) has warned that if Homer's 'wine-dark sea' 'were to be translated as the "(sky) blue sea" merely to achieve equivalent-effect, much would be lost'. And what has been lost in the rendering of 'wine-coloured' in our translations? Gone with the wine-image is an important hint as to the characters of the owners of such a 'space' and moreover the corruption of the upper class at large. The capacity of Chinese, however, could have reproduced the image, had the translators been as brave as the writer of a fashion magazine article in which the following sentence appears:

[4.5] #

Qunian, guowai nüzhuang bijiao liuxing nuanse, ru: huohong, zi, jianghong, putaojiuhong ....

('Last year, the fashion of women's clothing abroad was inclined to be of warm colours, such as fire-red, purple, reddish brown, wine-red ....')

(Qinggongye Chubanshe: *Xiandai Fuzhuang*, No.1, p.56)

Our analysis above indicates a global significance (in terms of the whole novel) of those images in [4.4]. So they deserve to be reproduced in translation. An improved rendition of the space- and wine-image resulting from our observation above could be:

[4.4 tr] #

... yi-ge mingliangde meiguise tiandi. ... ranhou qingqing fuguo yanse-xiang-hongputaojiu de ditan, youru feng chui haimian shide lüeqi yi-ceng yinying.

('... a bright rosy:colour heaven:earth. ... then gently brushed:pass [the] colour-like-red:grape:wine rug, like wind blowing sea:surface stirring:up a-layer-of shadow.')

4.2.4 Reproduction of image: pros and cons

From our discussion so far, it is clear that the three types of metaphor are by no means absolute; instead, they embody three sections of a continuum of aesthetic impact, with the dead metaphors at the extreme of minimum aesthetic impact and the new metaphors at the other extreme

of maximum aesthetic impact. In between, a large area is covered by half-dead conventional metaphors. More significantly, such a continuum is a dynamic one: a once original image may be exhausted through hard use and become half-dead or dead; a dead or half-dead image, on the other hand, may be revived or enlivened in actual writing.

Hence in translating metaphors, whatever category they happen to be in, there is nearly always a necessity to reproduce the images, though less would be lost if a dead image were not reproduced; retaining such images is mainly for the basic purpose of enriching the target language, and represents a kind of overtranslation. A stale image should be translated if it still has some sparks of originality, but might better be replaced or even reduced to literal meaning if it were weak in expressiveness and a culturally equivalent effect is sought for. The requirement to keep an original image in the TL text is always great, and the translator should make every effort to do so. It is a question of maintaining the original's stylistic marker as well as a challenge to and a test of the translator's competence.

This, however, covers only one side of the translation of figurative language. To reproduce the SL images textually in the TL text, perhaps the most prominent problem posed by all types of image is the constraints from cultural and textual contexts. This factor contributes to a large extent to Newmark's (1981:125) observation that 'the translator ... is more likely to be reducing metaphors to sense than to be creating them'. And we have to admit that cultural discrepancy can force the reduction or replacement of an image in translation to ensure a proper understanding. This is clearly seen in the following passage taken from a *Time* magazine article in the mid-80s:

[4.6]

'The people who *pushed the wrong buttons* all *took a powder*. The vets *got the raw deal* and were left *holding the bag....*'

[4.6 tr] #

'Naxie *ba shiqing nong zao* de ren *liu-le*, tuiwu junrenmen *chi-le-kui* hai dei *bei heiguo....*'

(My emphases in both texts)

The following processes can be observed in the translation:

push the wrong buttons: *ba shiqing nong zao* (make a mess of the matter) - Reduction of image to sense;

take a powder: *liu-le* (make their escape) - Reduction of image to sense or dead image;

get the raw deal: *chi(-le-)kui* (suffer a loss) - Reduction of a stale image to sense or dead image;

hold the bag: *bei heiguo* ('hold/carry the black wok') - Replacement of image.

The most significant gain from the alterations is a readable Chinese version; while the loss, mainly due to the reductions, is a decrease in the original's informal tone (for the tone effect of the use of metaphors, see Nash 1980:155).

Textual constraints may not pose a problem as acute as a cultural shock, because we treat the image in a metaphor more as an information carrier or stylistic marker than a syntactic bearer. If the formal feature of an image in the SL text is at odds with the syntactic preference of the TL sentence it is to be put into, the translator can always prepare

the TL text with some grammatical arrangements to accommodate the image, as we have done with the wine-image in [4.4 tr] above.

Of course, in practice, different translators may prefer different methods in translating the same figurative expression. The choice of method is frequently a manifestation of the translator's personal understanding and perception of the original, indicating his/her personal style and professional competence. The conveyance of a new metaphor through translation can also be a challenge to the TL convention, which is by no means immutable. Users (especially creative writers) of the language are shaping the convention all the time. It is the familiar imagery in the language that projects a sense of closeness and attachment to its national culture and users, and it is the new, not so familiar, imagery that endows the language with freshness and vitality. For translators, who work to preserve a 'foreign world' in the TL text, their target at the outset should be to reproduce the SL imagery, to compromise then if necessary, but with full awareness of the possible effects of their choices.

4.3 SYNTAX: ITS AESTHETIC FUNCTIONS

4.3.1 Foregrounding: syntactic form, information, and memory

In the present study hitherto, we have taken syntax more or less as given, that is, as a passive means of organizing semantic meaning units for a communicatively valid presentation of information. In this section, we shall look at syntax in terms of encodings that 'contribute something to the total meaning' (Halliday 1985:322). Our interest will be more in

marked syntactic processes serving figurative purposes, rather than in those syntactic properties such as modals and subjunctives by which the writer displays the interactional stance. In other words, we will be taking on what Tufte (1971) called 'syntactic symbolism', that is, the syntactic features which, on the level of discourse, go beyond the ideational or propositional meaning.

Viewed as such, syntax provides the writer with a subtle but active means of manipulating information (ie, organizing the information presentation in a marked way) to achieve certain effects. The actual effects can vary in different instances of text production, but the general intention of the writer remains the same, that is, to involve the reader. Thus in the third dimension of the SOM, we are able to see that the contribution syntactic encodings make to the 'total meaning' consists in their aesthetic function that orchestrates into a text the meaning components realized by lexical choices.

Forster (1958:5) has proposed two questions for translators to consider in their practice:

> The first question ... is: What is the purpose of the text in the original language? What means does the author employ to realize this purpose? The next question is: Can I as a translator use the same means within the framework of my own language? If not, which can I use?

The two questions are so fundamental to the strategy of translation that our discussions in the previous chapters can be seen as attempts to answer them from the viewpoints of the linguistic composition and the interactional dynamic of the text as a SOM. In this chapter so far, we

have approached the questions within the framework of the figurative use of words and phrases. And before we attempt any syntactic answers in the dimension of aesthetic impact, we have to admit that translating by definition is more 'conservative' than original writing, especially in the case of texts of high literariness; for in translating there are two norms, that of the SL text and that of the TL text, while in writing only the norm of the SL text is referred to.

A probable case in point is the 'poetic vigour' attained through the conversion of grammatical function without corresponding change in the form, noted by Leech (1969:43), in the following lines by Hopkins:

[4.7]

And storms *bugle* his fame ('The Wreck of the Deutschland')
Let him *easter* in us ('The Wreck of the Deutschland')
The just man *justices* ('As Kingfishers Catch Fire')
The *achieve* of, the mastery of the thing ('The Windhover').
(Original quotation's emphases.)

The questions are: Would those conspicuous grammatical violations still be considered as signs of 'poetic vigour' had these lines been Hopkins's translations from another language? And how can a translator avoid lapsing into 'prosaic flatness' by retaining the original's vigour without being grammatically odd in the target language?

The translator's conservatism perhaps can thus be hailed as sensible caution. But is it sensible to be cautious at the cost of blunting one's stylistic perception and expression? Here is the core of the matter. And it is one of the principal tasks of translation studies to secure a balance between the norms of the two languages, so a

translator can be sensibly cautious by remaining perceptive and expressive in translating.

At this juncture van Dijk's observation of information storing is enlightening. As he points out, most of the surface structure, if used only to organize semantic (eg propositional) information, is:

> stored only in short-term memory and soon forgotten, whereas only semantic information may be processed such that it can be stored in long-term memory. There are a number of exceptions in which surface information, eg of a stylistic kind, may also be stored [in long-term memory].
>
> (Van Dijk 1977:156)

This is further underlined by Sinclair (1993), who makes the point that texts (particularly literary ones) may often generate 'verbal echo' across sentences, while the main content of sentences is retained as meaning rather than form as the text is read from one sentence to the next. It would not be difficult to see, should we take a step further, that in the long-term stored semantic information, the most clearly remembered and most inclined to be retrieved items are those which have refuted, enriched or improved the norm we have ascribed to the world. We call this Novel Information. Our perception and acceptance of language as an object in the world should follow the same principle: Those stylistic or formal details that have refuted, enriched or improved the norm we have ascribed to the language will receive more attention, so will the information carried by them. In this case, the semantic information is not only organized but also foregrounded by the surface structure in the process of 'information reduction' (ie summarization - perhaps

parallel in some way to Sinclair's (ibid) 'encapsulation' function) to a macro-structure for long-term memory. We call this New Form. In this way the surface information, thanks to its imprint on the norm, has in its own right entered the domain of semantic information and is kept in long-term memory as such. Here the [surface] structure and the [semantic] information become one, which can be called Foregrounded Information.

So far as translation is concerned, the Novel Information should be translated on its own merits, although it may cease to be new as seen by the TL audience. The New Form itself is not of much import as it is new only in relation to the SL norm, but it is seldom there for its own sake and the resultant Foregrounded Information, the integrated oneness of form and information, holds the answer to our questions posed in this section: the Foregrounded Information should remain foregrounded in the TL text, by all available means. Hopkins' lines contain Novel Information, meant to be outstanding in long-term memory. The Novel Information is foregrounded by the New Form; hence as Foregrounded (Novel) Information, its outstandingness is fortified, so to speak, for eternal memory. The difficulty in translating Hopkins' lines, therefore, lies in turning them into 'eternal lines' in the target language.

In our analysis, the translator works from the norm of the target language towards the norm of the SL text (which can be at variance with the norm of the source language) to meet and accommodate it. In so doing, the translator is creating the norm of the TL text. By the same token the norm of the TL text may not comply with the norm of the target language to the letter.

It should be pointed out, however, that 'norm' is a rather relative and dynamic concept, especially the general norm of a language that covers different types of text. The open-endedness of the general norm of a language provides, in theory, boundless scope for the original author's creativity and originality in the use of the source language to establish the norm of the SL text. The limits, however, do exist in actual writing; and one of them is the mastery of the language by the individual writer. In this sense, writing is a process full of compromises between the claims of the subject matter and the writer's linguistic capacity. The norm of the text is the result of such compromises, thus it is local, individual and more accountable than the norm of the language in general.

The process of translating is full of compromises too. But with the subject matter (in the case of translating, the subject matter is part of the norm of the original text) more or less settled, the compromises seem to be more on the side of the target language; ie, to explore the flexibility of the target language in order to account for the norm of the original text. A good understanding of the source language by the translator ensures a sharp perception of the norm of the original, and a competent grasp of the target language will enable the translator to capitalize on the theoretically inexhaustible resources of the language, in the striving to represent the norm of the original text. The norm of the TL text seen in this light is a realization of the norm of the SL text in the target language. The two norms are not, and can never be identical, because first of all there is no absolutely perfect perception of the original's norm in reality for the translator to work from, and secondly in individual cases the target language cannot be stretched indefinitely in practice. It is common sense that the general norm of a

language, however flexible, should not be worked to such a degree of distortion that it fails to organize the semantic information properly.

To be secured in long-term memory does not necessarily mean the information has to be so organized that it is easy to remember. Rather, the author may, besides word choice, resort to various syntactic means to highlight the information intended to be kept in the foreground of the reader's memory. In this way, the author is manipulating the presentation of the information through the sequencing of its components for the intended communicative and aesthetic effect, within the linguistic potential of the language used. In the domain of translation, it is in information organization, ie, textualization, rather than in grammatical actualization, that the translator should seek for the integrity of form and content of the SL text and later the corresponding integrity of the TL text.

4.3.2 Asyndeton and polysyndeton: two basic means of information organization

So far as information organization is concerned, coherence makes the information presented ideationally and interpersonally valid while cohesion makes it textually solid. In the process of translation, both coherence and cohesion have to be retained as part of the correspondence between the original and the translation. In this section, our focus is on the aesthetic impact of coherence and cohesion in the original and how it can be maintained in translating, by taking as examples asyndeton and polysyndeton in textualization.

Generally speaking in an asyndetic construction information components are juxtaposed without conjunction, projected in a manner of 'snap-shot' series. Thus in the process of information presentation there are gaps between propositions for the reader to fill so as to make the text a coherent whole. In this way asyndeton requires constant reader inferencing and involves the reader closely in the development of the text. The polysyndetic construction, on the other hand, links propositions in a more 'controlled' way, with connections guarded by appropriate conjunctions. So less reader inferencing may be required by polysyndeton in terms of cohesion, but so far as informative coherence is concerned, it requires more acute intellectual perception of the intrinsic logical relation or emotional implication,[2] especially when it comes to translation where the languages involved may favour different practices of cohesion.

This may well be illustrated by a brief examination of some examples containing the purest (in the sense of most basic clause-relation) conjunction *and* in English and their translating into Chinese. Two of the cohesive functions of *and* in English are to mark parallel and sequential relations between information components. In the following examples, *and* is *normally* required; but, as we shall see, these *ands normally* have an asyndetic counterpart in Chinese:

[4.8]

A. Parallel:

(1) mountains and rivers [*and*: co-existence],

(1 tr) shanshui ('mountain:water'), or

shan he shui ('mountain and water');

(2) husband and wife [*and*: correlation],

(2 tr) fuqi ('husband:wife'), or

zhangfu he qizi ('husband and wife');

(3) clever and healthy [*and*: simultaneousness],

(3 tr) congming jiankang ('clever healthy'), or

congming you jiankang ('clever as:well:as healthy');

B. Sequential:

(4) day and night [*and*: alternation],

(4 tr) ririyeye ('day:day:night:night'), or

baitian heiye ('white:day black:night'), [but

baitian he heiye ('white:day and black:night'), implies

correlation];

(5) pack up and go home [*and*: logical sequence],

(5 tr) shoushi xingli huijia ('pack luggage go:home'),

*shoushi xingli he huijia ('pack luggage and go:home').

In [4.8] it is obvious that *he* (and) in Chinese stands more for parallel co-ordination rather than sequential co-ordination. The latter tends to be recorded or mimicked directly in the asyndetic syntactic order, which is referred to as the temporal construction of Chinese syntax (cf. Shen Xiaolong, 1992:32ff).[3]

With asyndetic co-ordinate patterns widely available and more desirable in Chinese syntax, polysyndeton can be used in Chinese textualization for a highly marked effect. For instance:

[4.9] *//*

'Cong jintian qi wo buzai shi nide qizi, wo buzai shi Wang Taitai le. Ni keyi lingwai zhao yige nenggou liaojie ni, *erqie* bi wo

geng ai ni, *erqie* chongbai nimuqin, *erqie* piqihao de nüren zuo nide taitai. Wo dui ni meiyou haochu, wo bushi yige xianqi-liangmu.'

(Bajin *Hanye*, p.241)

[4.9 tr]

'From now on I am no longer your wife, I am no longer Mrs Wang. You can take another woman, who can understand you, *and* loves you more than I did, *and* adores your mother, *and* has a good temper, to be your wife. I am no good to you, I am not a virtuous wife and caring mother.'

(My emphases and translation)

It is not difficult for one to see how in [4.9] the pounding polysyndeton, in clear relief against an asyndetic background, has helped enhance the accumulative emotion the text conveys. A similar effect is often attained in Chinese through the repetition of other elements than the conjunction, to avoid the (over)use of polysyndeton which in many cases can be syntactically inadvisable or even impossible. For instance:

[4.10] #

Shishishang ta di-er tian hai lai, di-san tian hai lai, di-si tian hai lai, yizhi dao di-liu tian ta hai lai.

('In fact he the second day still came, the third day still came, the fourth day still came, till the sixth day he still came (to the office).')

(Bajin: op. cit., p.271)

Compare a tepid alternative concocted as follows:

[4.10 i] #

Shishishang ta di-er tian hai lai, di-san tian, di-si tian, yizhi dao di-liu tian hai lai.

('In fact he the second day still came, the third day, the fourth day, till the sixth day still came (to the office).')

Certainly it is not coincidental that on the one hand the author repeats relentlessly *hai lai* (still come), on the other hand he does not even bother to iterate in the sentence the contextually evident *shangban* (coming to the office).

It is interesting to note that in English as well as in Chinese repetition goes very often with asyndetic construction. If the effect of [4.10] is achieved solely through repetition, then a similar sentence in English can avail itself of both repetition and asyndeton, as an asyndetic pattern tends to be more marked in English than in Chinese, as in:

[4.11] #

They are not talking much, and the talk is quiet, of nothing in particular, of nothing at all in particular, of nothing at all.

(James Agee: *A Death in the Family*, quoted in Tufte, 1971:239)

Here the aesthetic impact of the sentence is brought about by asyndeton and epanaphora ('the beginning of successive clauses with

the same word or group of words' (Levin quoted in Tannen 1989:22)). To put [4.11] into Chinese, we can try the pattern of [4.10]:

[4.11 tr]

Tamen tan-de buduo, yao tan ye shi qiaoqiao-de tan, mei shenme juti-de hua hao tan, yidian juti-de dongxi ye mei tan, yidian ye mei tan.

('They do not talk much, even if they do, they talk quietly, there is nothing in particular to talk about, nothing at all in particular to talk about, nothing at all to talk about.')

Repetition creates the rhythm, and asyndeton quickens it. [4.12] provides an apt example:

[4.12]

Sun and moon, sun and moon, time goes.

(John Updike: *Rabbit, Run*, quoted in Tufte 1971:239)

The beat registered by 'sun and moon' is picked up by the asyndetic construction to mimic the rhythm of, as it were, a ticking clock. Before we attempt any translation of it into Chinese, we have to deal with two possible pitfalls for the translator.

The first is the temptation of those time-honoured ready-made 'four-character' phrases abundant in Chinese. In this case phrases such as *riyue-rushuo* ('sun:moon-like:shuttles': the sun and the moon (travel) like shuttles) and *wuhuan-xingyi* ('things:change-stars:move': the world changes (and) stars move) are available as possible translations of *sun*

and moon, sun and moon. Chinese phrases of the kind, rhythmic in their own terms, tend to give the text a touch of classical sublimity if properly used; but on the other hand they are liable to result in platitude if one indulges in such clichés. Moreover, it is very rare if not inappropriate to repeat the same phrase immediately after its first occurrence in the text. To retain the original's rhythm and straightforwardness, it is better to stay closer to its rhythm and images and avoid recourse to the banality of these ready-made phrases.

Now we have to consider the second pitfall, that is, the logical implication of *and* in *sun and moon.* Clearly, in this case *and,* as in [4.8 (4)] above, denotes a relation of alternation in the category of sequential. Such a relation, as we have demonstrated, is normally iconized in Chinese syntax by asyndetic linear arrangement of the items in question.

Our argument seems to be leading to a translation such as:

[4.12 tr] #

Taiyang yueliang, taiyang yueliang, shiguang liushi.

('Sun moon, sun moon, time flows:passes.')

A closer scrutiny of *taiyang yueliang* reveals, to our delight, that as if by sheer luck this juxtaposition of two of the commonest words rings to the plodding rhythm of a down-falling pitch pattern '(\) / (\) \'. And being an ordinary compound phrase, it allows repetition to play it up, to a degree of, so to speak, ticking monotone. The final result is thus a rhythm that matches the original, but more importantly, it creates a similar enacting effect.

4.3.3 Iconicity and enactment: two aesthetic functions of syntax

It can always be generally observed that the force of a short sentence lies in its simplicity, clarity and directness, while the power of a long sentence comes from its ability to provide a complex syntactic representation, and variations of sentence-length are organized for 'compositional tempo' (see Nash 1980: sections 5.2, 5.3 and 5.4). Syntactic considerations as such mainly belong to the second, ie interactional, dimension of the SOM, and are subject to different textual preferences in different languages in the practice of translation. In other words, short sentences being grouped into a long one and a long sentence divided into short ones are part of the normal routine in translating to honour the convention of the TL writing.

Only when the construction of a sentence, long or short, has been exploited for the purpose of manipulating the information so as to influence the reader, does it become a case of syntactic symbolism which contributes to the third, aesthetic dimension of the SOM, and therefore deserves special attention. This is how those sentences in Section 4.3.2 have been treated. And as we have illustrated, two of the aesthetic functions of syntax are iconizing/mimicking the progressive presentation of information and enacting the presentation through phonaesthetic substance. This is why we see the third dimension as the binding one of the SOM: it brings form and content together and enables the process of writing/translating to be examined in its entirety. It is in respect of the aesthetic dimension that the model of the SOM elaborated in the present study crucially differs from the Hallidayan systemic-functional tri-partite account of meaning and the purely communicative observation of speech acts.

Viewed in this light, Chinese classical poetry such as *Lüshi* (regulated eight-line verse), *Jueju* (regulated quatrain) and *Ci* (song lyric with pre-set meter) may offer little syntactic room for symbolic presentation. This explains, at least partially, why for centuries much attention in critical appreciation has been directed to the original use of lexical images (which are structurally simple) and the adequate observation of the sound and syntactic rules rather than to the syntactic ingenuity (if there is any) displayed in such poems. In contrast, the *Yuefu* genre (which consists of various forms derived from ancient folk songs and ballads) offers greater syntactic flexibility, the exploitation of which has been noted in classics such as Du Fu's 'Bingche Xing (Ballad of the Army Carts)' (cf. Zhen in Tang (ed.) 1983:433). As for translators of those formally more constraining poems, their attention has turned duly to the conveyance of the poetic imagery rather than the scanning obligations of the SL text (cf. Graham 1965:13-14, 15).

The vernacular modern Chinese language has an ample syntactic flexibility, which has not only made its mark on modern Chinese prose and verse writing but also on the translation of classical Chinese verse into modern Chinese (see eg He Jie 1989). It can be deemed an effective means of compensation for the loss of the original cadence to increase reader involvement through syntactic manipulation. The significance of operations of the kind, certainly beyond the translation of Chinese verse, is clearly seen in Raffel's (1988:169-71) critical comparison of several English versions of a classical Greek line by Sappho. Among the versions, at the one extreme there is:

[4.13]

> But I claim there will be some who remember us when we are gone.

which contains a lacklustre subordinate pattern, typical of a formal, slow and distancing prosaic presentation. And at the other extreme is a much praised rendering:

[4.14]

> You may forget but// Let me tell you/ this: someone in/ some future time/ will think of us

which, in contrast, is an instance of reciprocal, dialogue-like involving syntax (cf. McCarthy and Carter (in press) sec.1.4). One may notice that the otherwise complex pattern has been cut into simple ones, perhaps a suggestion of intonational contours to reinforce reader involvement. (For the persuasive function of such syntactic layout, see Carter and Nash 1983:131.)

Syntactic symbolism does not alter the ideational meaning but contributes to it. Its contribution lies not only in the organization of information but also, especially in this third dimension, in making possible the motivated foregrounding in presentation by means of the lexicogrammar and the phonology (cf. Halliday 1978:138). In this analysis, as Tufte (1971:11) observes in defining syntactic symbolism:

> ...when the rhythm and sequence of syntax begins to act out the meaning itself, when the drama of meaning and the drama of syntax coincide perfectly, when syntax as action becomes syntax

> as enactment, this last refinement of style is called *syntactic symbolism*. ...the fusion of form and content, not as the inevitable condition of language, but as a very special achievement.

(Syntactic symbolism can be understood as close to, but not identical with, the notion of grammatical metaphor, for which see Halliday (1985:319ff).) This is a result of the active use of language by the writer in motivated presentation, or manipulation, of information. One point to be noticed is that in the domain of language use as a whole, syntax can decrease as well as increase reader involvement, and the impact in either case is more on the emotion than on the mind of the reader. This is true in writing and in translating alike. As Raffel points out in the final passage of his *The Art of Translating Poetry* (1988) 'The translator's final responsibility is to his author. The writer's final responsibility must be to himself'. The awareness of the original's syntactic intention thus becomes all the more important in translating. Therefore in our discussion of the third dimension of SOM, meaning by definition includes syntactic enactment, that is, the significance of form.

It is this aesthetic perspective of syntactic organization of information that enables us to appreciate the elaborated mid-branching pattern of [4.15] below as a miniature of the fabric of the story it opens:

[4.15]

> The birth of little Henry Carter-Clark, which was announced in the *Times* in the way births of Carter-Clarks had been announced in the *Times* for many generations, was, like the computer

typesetting of the announcement itself, a blend of old-fashioned custom and modern technology.

(Piers Paul Read: 'Son and Heir')

In translating the passage into Chinese, one should be aware of the order of the information presentation enabled by the syntactic complexity, and avoid, if possible, any substantial alterations which might lead to a chronological sequencing favoured by the convention of the Chinese language. Admittedly, however, breaking the long sentence into two may rid the translation of possible clumsiness (at the cost of probable comic effect of the original's syntax) which could hinder the 'reading ease' of the text, as in:

[4.15 tr] #

Xiao Henli Kate-Kelake chusheng yi shi, an Kate-Kelake jiazu lidai xiangyan de zai *Taiwushi Bao* shang kandeng chusheng gonggao de guiju, zai gai bao shang deng-le gonggao; zhe haizi, jiu tong gonggao benshen de diannao paiban yiyang, shi lao chuantong he xin jishu de hechengwu.

('The event of the birth of little Henry Carter-Clark, following the Carter-Clarks' generations old practice of publishing birth announcements in the *Times*, was announced in the paper; the child, just like the computer typesetting of the announcement itself, was a joint product of old tradition and new technology.')

Wang Meng, who, in his writing from the late 1970s onwards, was the first novelist to introduce the modernist technique of 'stream of consciousness' to contemporary Chinese literature, made much publicity

of his syntactic intentions in his 'My Exploration' (1981). His stylistic awareness is well illustrated in two of the passages in his 'Ye de Yan' (The Night's Eye) (1979), which, approached in the light of the concept of SOM, can be translated stylistically as follows:

[4.16]

> Van and cars. Trolleybuses and bikes. Hooting, chatting and laughing. A big city reveals the most of its vigour and character only in the night. There have appeared some neon lights and barber's poles, sparse but striking. Curly hair and long hair. High heels and semi-high heels, sleeveless dresses. Smells of toilet water and face cream. The city and women just beginning to dress themselves up a little bit, some people have already been upset. This is interesting.
>
> (My translation)

[4.17]

> They've told him, the building not far over there's the one he's looking for; but as luck would have it, some construction's being done here, seems they're laying some pipes, no, not only pipes, there's bricks and timbers as well, probably to erect a couple of single-storey houses, a canteen perhaps, or public toilets, of course, anyway, a wide trench in the way, maybe too wide for him to jump over, he could make it if not tortured in the Cultural Revolution, so he's got to find a bridge, a plank, so he walks up and down along the trench, getting impatient, no planks at all, all those trips end up in nothing, jump or not? no, shouldn't give up to age yet, so he takes a few steps back, one, two, three, damn

it, one foot apparently got stuck in the sand, but he's taken off, not up in the air, but down in the ditch.

(My translation)

An approach in a conventional vein, however, has turned out a well-formed but washed-out rendition, in which the original's stylistic edge is nowhere to be seen:

[4.16 i]

Everywhere, there were heavy vehicles, cars, trolley-buses, bicycles, and the hooting, voices and laughter typical of a big city at night - full of life. He saw occasional neon lights and barber's poles. Also permed hair, long hair, high-heeled shoes and frocks. In the air hung the fragrance of toilet water and face cream. Though the city women had just begun to pay a little attention to their appearance, they had already outraged certain people. This was interesting.

(Anonymous translator 1980)

[4.17 i]

According to what people had just told him, the building ahead, not too far away, was the one he was looking for. Unfortunately there was a ditch for laying sewage pipes barring his way, too wide to jump across. He searched for a plank to cross it, but to his annoyance found none. To skirt round it or jump over? "I'm not that old," he said to himself. He backed a few paces and then ran forward. Confound it! Just as he took off, one of his feet stuck in the sand and he tumbled into the ditch.

(Ibid)

The conventional translation falls back on unmarked narrative patterns of syntax and inflexional morphology, and loses the sense of *irrealis* so central to stream of consciousness writing. (On irrealis narrative and its close alliance with tense forms see Bailey 1985.)

4.4 SHAPE, SOUND AND SENSE

Shape and Sound, or the Hallidayan lexicogrammar and phonology, are the two basic aspects of the form and substance of a text. The primary justification for this existence of a text is the semantic meaning it is supposed to convey. The meaning renders the textual being valid in the linguistic and the interactional dimensions. That is to say, in these two dimensions Shape and Sound are perceived in both the categories of linguistic bearer and information carrier. It is when we look at the third dimension of the SOM that we are in a sense examining Shape and Sound as stylistic markers for their aesthetic relation with Sense.

In our view, therefore, style does not only consist in the choices of elements such as subject matter and genre, but more importantly the choice of what to foreground and how it should be foregrounded in the contour of text. And textual foregrounding as such, in the final analysis, is a matter of motivated manoeuvres in lexicogrammar or phonology, ie, the shape or sound of the language (see Halliday 1978:138; for the relation between 'involvement strategies' and 'sound and sense patterns', see Tannen 1989:17ff; and for a discussion on 'the miming or enactment of meaning through patterns of rhythm and syntax', see Leech and Short 1981:234, 235). In this light, syntactic symbolism is seen as a kind of stylistic marker constructed by what is

called 'syntactic imagery' whose effect can be 'striking', according to Halliday (1973:121). The syntactic imagery, in turn, is mainly a textual configuration of 'style figures of speech' (Tannen 1989:23), or schemes in the conventional sense. Here is what the translator can start with in the endeavour to secure in the translation a similar striking effect by means of Shape and Sound. And Section 4.3 above can thus be seen as a discussion in this respect, on the level of syntax. In our present section, consequently, our main concern will be the relation between Shape, Sound and Sense on the lexical level, that is, as a determinant of word choice.

In both languages, English and Chinese, Sound, in the form of speech rhythm, plays an important part in composition. What Nash says about English writing should be equally applicable to Chinese:

> Rhythm at all events can have a directive importance, steering the writer towards a choice of words and perhaps occasionally prompting some happy stylistic discovery.
>
> (Nash 1980:81-82)

In practice the basic rhythm of English is obtained through the groupings of stressed and unstressed syllables while in Chinese the cadence works itself out through the combinations of *ping* (level) and *ze* (oblique) pitches.

Putting English and Chinese alongside each other in the framework of translation, however, it becomes obvious that the element which is most liable to wear off as a textual effect in translation from Chinese into English, and which is most likely to be neglected as an aesthetic potential in translation from English into Chinese, is the

imagery in the Chinese written character, the lexical shape, or as Graham (1965:17) puts it, visual onomatopoeia. What underlies such a state of affairs is the fact that in English the graphic shape of written signs (ie, words) is not as much a concern as the effect of speech sound (cf. Carter and Nash 1990:119),[4] while in Chinese the graphic imagery of the written character should by its nature remain a textual consideration for its aesthetic attributes.

Before we proceed any further with the issue of Shape, it is useful to reflect on the different perceptions of the imagic nature of the Chinese written character, which are well summed up in the publisher's note to Fenollosa's *The Chinese Written Characters as a Medium for Poetry* (1936):

> The old theory as to the nature of the Chinese written character (which Pound and Fenollosa followed) is that the written character is ideogrammic -- a stylized picture of the thing or concept it represents. The opposing theory (which prevails today among scholars) is that the character may have had pictorial origins in prehistoric times but that they have been obscured in all but a very few very simple cases, and that in any case native writers don't have the original pictorial meaning in mind as they write.

The note points unwittingly to the fact that the imagination of a foreigner with poetic insight (eg, Pound and Fenollosa) can see in nearly every Chinese character an image, a metaphor, which, being dead, may not appeal very much to a native eye. But the effect of the imagic property of the Chinese written character is there, as is

instanced by its conspicuous absence when the graphic version is replaced by a romanized *pinyin* version within the same Chinese language. The effect is subtle, indirect, and can thus be powerful, like that of the syntactic imagery, once its suggestiveness is exploited in writing and appreciated in reading. Let us consider the following sentence:

[4.18]

A high, thin moon shone above the jagged, dark sky-scrapers.

(Carson McCullers 'The Sojourner')

When I was translating the story (1982), several options were open to me in rendering the word *dark* into Chinese, ranging from lacklustre *hei'ande* (黑暗的) to sound-rich reduplicated words such as *heichenchende* (黑沉沉的), *heihuhude* (黑乎乎的), *heiququde* (黑黢黢的) and *heixuxude* (黑魆魆的). The reason for my selection of *heixuxude* is the 'ghost' radical it contains: *gui* (鬼), as the story is heavy with the death motif.[5]

[4.18 tr] #

Yi-gou yueya gaogua, dandande yuese longzhao-zhe cenci-buqi, heixuxude motian-dalou.

('One-hook moon:tooth high:hung, [the] thin moonlight wrapped [the] jagged, black:*xuxu* sky-scrapers.')

4.4.1 Reduplication: an example

Of Chinese written characters, the feel of the sound in terms of the level-oblique cadence, rhymed pairing and alliteration, and the feel of the shape in terms of the visual effect of radicals and the number of strokes, with regard to their textual potential, have long been observed in classics such as Liu Xie's (465? - 520? AD) *Wenxin Diaolong* (in Zhao 1982/85:289, 328). Some of Liu Xie's arguments are still of much practical significance in modern Chinese writing. For instance, Liu points out that oblique-pitch characters threaded together will lead to a staccato effect while a bunch of level-pitch characters can result in a legato line that drifts to a feeble end. As for the visual agreeableness, he advises the writer not to use in succession more than three characters containing the same radical. He has also noted that too many 'thin characters' (ie, characters of few strokes) will make the text lean and fragile, while excessive use of 'thick characters' (ie, characters of many strokes) will render the text heavy and dark.

The aural and visual qualities as such have long become part of the makeup of the Chinese language, inherent in its word formation and syntax, and are too subtle to be extricated for further analysis in the present study. But with regard to our current discussion, nonetheless, the so-called reduplicated word in Chinese offers a most typical illustration of the relationships between Sound, Shape and Sense as aesthetic factors in translating between Chinese and English.

Reduplication has been a constant topic in Chinese grammars. According to Li and Thompson (1981:28-29), it means

> that a morpheme is repeated so that the original morpheme together with its repetition form a new word. Such a new word is generally and/or syntactically distinct from the original morpheme.

And in Chao (1968:199), the major forms of reduplication derived from the most basic and commonest pattern of XX are listed and illustrated, such as:

XYXY (*dingdang-dingdang*: dingdong, dingdong),
XXYY (*lingling-suisui*: odds and ends),
XXY (*bengbeng-cui*: crackling crisp),
XYY (*leng-bingbing*: cold as ice),
XYXZ (*youtiao-youli*(*de*): systematically),
XZYZ (*qicha-bacha*(*de*): with all sorts of interruptions),
X-li-XY (*sha-li-shaqi*: simple and silly),
X-bu-YY (*suan-bu-liuliu*(*de*): sourish).

It has also been observed that semantically reduplicated verbs may acquire the delimitative and/or tentative aspects (meaning 'a little bit') and reduplicated adjectives and adverbs can appear more vivid, and reduplicated unit words imply 'every' (Li and Thompson op. cit.: 29, 32, 34; Chao op. cit.: 204, 205ff). Chao also pays attention to the relations between form and meaning in reduplication and finds that the pattern XX(de) generally carries a favourable connotation and increases the liveliness of the meaning. Given the right context, incidentally, such an effect can be well matched in English by the pattern 'nice and (adjective)'.

On the other hand, Zhang Qichun (1957/83:166-69, 170-72, 183), in putting reduplication in the sphere of translation between Chinese and English, has found that a reduplicated noun can not only mean something similar to collective 'every' or successive '... by ...' in English, but may also indicate a kind of hyperbole (eg in *renren* ('man:man'): everybody) or imply reciprocity (eg *mianmian* ('face:face') in *mianmian-xiangqu*: gaze at each other blankly); and reduplicating adjectives/adverbs can imply the meaning of 'extremely' (eg *qingchu*: clear, but *qingqingchuchu*: extremely clear). As for Chinese verbs, Zhang (op. cit.) has noted three features of reduplication: firstly, phonaesthesia of repetitive sound; secondly, emphasis on the continuation or manner of action (eg *piaopiao*: fluttering/floating); thirdly, transitory aspect especially in X-yi-X pattern (such as *deng-yi-deng*: wait a moment) and tentative aspect in patterns such as XX-kan (eg *xiangxiang-kan*: try and think).

Reduplicated words in Chinese may remind one of those rhyme-motivated and ablaut-motivated compounds in English (for rhyme-motivated and ablaut-motivated word-formation in English, see Bauer 1983:212, 213), which draw on the same mechanism of reduplication, such as:

Rhyme-motivated:

nitty-gritty	higgledy-piggledy
stun-gun	highty-tighty
culture-vulture	teeny-weeny;

Ablaut-motivated:

dilly-dally	wishy-washy

shilly-shally	flip-flop
zig-zag	tick-tock.

Some of these may indeed find a workable counterpart in Chinese, for instance, *songsong-kuakua* for *dilly-dally* and *ganbaba* for *wishy-washy*, etc, because they not only sound similar, but also, similarly and more importantly, the sounds enact the package of meaning the words convey. In most cases, however, this practice proves to be a one-way street (from English to Chinese), for beyond the aural vividness difference begins.

Generally speaking, both reduplication and ablaut formations are colloquial in nature, which makes possible the translation from English into Chinese as shown above. But similarity stops here. The English 'reduplicated', as a whole, tend to be slangy, comic, and even vulgar; while the Chinese ones, making up a substantial portion of Chinese vocabulary ranging from the slangy, comic, vulgar to the literary, even poetic, are much more extensively used in various types of texts. Hence the incompatibility exists both in register and in frequency and distribution, which prevents matching Chinese reduplicated words with English ones as such in Chinese-English translation in most contexts. Rather, in Chinese-English translation, a better match for Chinese reduplicated words in English seems to be those homely y-words such as *windy, icy, friendly, drinky* (noun), *goody, baggy*, etc. These words, in a similar register range to Chinese reduplicated words, are likewise flexible and versatile, and more importantly, they lend themselves readily to repetition and pairing in, say, an '... and ...' binomial pattern, for specific sound effect. But again, this should not be pursued dogmatically. And so far as the aesthetic impact is concerned, the

corresponding effect need not and cannot be attained through identical frequency and/or distribution of occurrences of the words concerned in each translating operation. In this connection, the textual conventions of each language involved and the human factors such as the preferences of the author, the translator and the reader (to which the recognition and the assessment of the text convention are subject), have to be taken into account. This is another aspect of the art or craft of translation.

The extensive existence and application of reduplicated words in Chinese has been explained by Eoyang, succinctly and fundamentally, when he points out, 'Chinese - a language that tends to mimic phenomena rather than define it [sic.] - tends to be rich in repeated compounds' (Eoyang 1989:281). In this analysis, the heavy presence of reduplicated words in discourses ranging for instance from street swearing to *belles-lettres* such as Zhu Ziqing's 'Moonlight Over the Lotus Pond' (see Appendix III) is nothing but effective and powerful use of the Chinese language in its true nature.

The discussion on reduplication so far, however, is not yet enough to provide a sound basis for the translator who seeks for similarly effective and powerful use of the English language to render the aesthetic impact of Chinese reduplicated words.

In certain aspects such as phonaesthesia, English can be arguably said to 'mimick phenomena' and enact semantic meaning in its word formation as well. But this is done mainly if not solely by phonological means, the sound; while in Chinese word formation the effect is achieved through graphological structure by the graphic nature of the written character, the shape, as well as through phonological arrangement. And so far as Shape is concerned, this is iconicity in its most primitive, but

direct and primary form. The effect, however, can be indirect, subtle, but striking once perceived, because the meaning has been enacted by, thus become one with, the form, ie, Sound and Shape. And this is how reduplication can be perceived: by repetition it prolongs the actual reading process to enhance the manifold message by striking the ear and eye more than once with the same sign(s), suggesting synesthetically the rhythm and immensity of the temporal/spatial extension of the world in terms of number, size, length, etc. And to a large extent we can say that that part of aesthetic effect created in English by sound (ie, word pronunciation and rhythm) is created in Chinese jointly by sound and shape (ie, pronunciation, rhythm and, more subtly, graphics). For instance:

[4.19]

> Endless cycle, endless birth and death, endless becoming and disappearing.... Limitless cycle, endless change.
>
> (James A. Michener *Hawaii*, quoted in Tufte 1971:239)

[4.19 tr] #

> Wuqiongde lunhui, wuqiongde shengshengsisi, wuqiongde fufuchenchen.... Bujinde lunhui, wuqiongde bianqian.
>
> ('Endless cycle, endless birth:birth:death:death, endless surfacing:surfacing:sinking:sinking.... Limitless cycle, endless change.')

And a step further we may be led to believe that the graphic feature of the written character and the extensive existence of reduplication, in translation as a whole, can be a powerful compensation for the lower degree of musicality of Chinese as a tonal language, or in Graham's

(1965:17) terms the relative 'phonetic poverty' as against the 'graphic wealth', in comparison with alphabetic languages such as English. And in the field of Chinese-English translation, the phonological potential of English should be brought into full play (and not simply rhyming) to retain the aesthetic impact of the sound and shape of the Chinese original. This has been my starting point in translating the following lines in Li Bai's 'Perilous Journey to the Land of Shu' (Appendix II):

[4.20]

Qingni he panpan

('Grey:Earth how twisting:twisting')

[4.20 tr]

That Grey Earth Ridge ...

Winding, wringing, coiling -

and

[4.21]

Dibeng shancui zhuangshi si,

Ranhou tianti shizhan xiang goulian.

('Earth:cracks, mountains:collapse, brave:men die,

Then heaven:ladder plank:trail mutually link.')

Note the slower tempo of the second line, a fairly 'long' clause from the viewpoint of Chinese classical verse, and the quicker tempo of the first, which involves repetitions of the 'mountain' radical in the graphic version. In the translation, sound effect has played an instrumental role

in catching the effect the SL reader may have experienced through the graphic shape and the syntactic rhythm of the original:

[4.21 tr]

> Many a heroic death,
> Among collapsing crags and cracking tops,
> Paved a human path hanging and threading
> Through peaks and rocks.

[4.21 tr] is an experiment of compensating the possible effect of lexical 'visual onomatopoeia' in the Chinese text with syntactic aural patterning which English is strong at, to argue, as it were, onomatopoeically for the meaning. The effects of the original and the translation in the above examples (how much they have matched is subject greatly to the reader's personal taste and judgement), as we can see, are attained through repetition in various forms and at various levels, eg, in Chinese, repetitions of the character (reduplication) and repetitions of radical, and in English, repetitions of the initial sound (alliteration), and repetitions of the number of syllables in each line apart from the arrangement of long/short vowels. And it is viewed in the light of repetition (accompanied with variation in some cases)[6], that we can see that techniques such as alliteration and reduplication are actually repetitions on the word level and below, and in the analysis of aesthetic impact, they can be aligned with syntactic repetitions such as various types of parallelism.

An understanding of reduplication and parallelism puts us in a better position to appreciate the fact that in Zhu Ziqing's 'Moonlight Over the Lotus Pond', reduplicated words (mainly adjectives) are

abundant in external descriptions to depict a minute observation and to reinforce a vivid presentation; while in internal description, parallel structures are employed to enact and enhance the undulation of emotions and the contrast of concepts in the semantic meaning of the text. In the translation, matching effects have been sought through manipulations within the general scope of textual repetition (see Appendix III).[7]

To persuade the audience one has to convince them intellectually and to involve or distance them emotionally. This is the aesthetic game of textualization. Metaphor or trope and iconicity are two principal ways of playing it. Both require the reader's empathy, sensitivity and participation. These are the material and psychological bases of the reciprocal mechanism of literariness. The notion of literariness enlarges the concept of the aesthetic dimension of the SOM to include virtually all types of text with regard to their genre appropriateness and social functions. Operations of translation based on the model of three-dimensional SOM can only be three-dimensional, the difference is no more than one in the proportionate importance of each dimension. This is the translator's dynamic response to the genre requirements of the SL text in existence and the TL text in the making, in a cross-cultural environment.

Notes

1. Newmark later (1988:106-113) proposes another set of metaphors ranging from dead, cliché, stock or standard, adapted, recent, and original metaphors.
2. A polysyndetic construction void of this 'deeper meaning' is frequently deemed loose or childish.
3. Also note: The *he*-pattern (*and*-pattern) in Chinese may render the phrase more literal, referring to concrete objects, while the asyndetic pattern is used when the referents symbolize an abstract concept. For instance: shanshui-hua ('mountain:water-painting' - landscape painting, but *shan he shui hua), fuqi enai ('husband:wife love' - conjugal love, but *zhangfu he qizi enai).
4. 'Face Facts', the catchword of the Channel 4 advertisement of the Midday News, provides one of the few exceptions when it appears on the screen with Michael Heseltine's face, as it draws obviously on the visual similarity of the words as well as the ordinary alliteration for its textual effect, as compared with phrases such as 'figures and facts'.
5. When the translation was published, unfortunately, the word was somehow mistakenly printed as *heibabade (黑魃魃的), which does not exist in Chinese vocabulary.
6. The significance of repetition as an involving strategy in discourse creation is well set out by Tannen (1989:3, 36 and 37).
7. A typical example of the combination of reduplicated words and parallel couplets in descriptive texts in Chinese is found in this classical poem: #

Feifei diandian huitang yu
Shuangshuang zhizhi yuanyang yu
Zhuozhuo yehua xiang
Yiyi jinliu huang

Yingying jiangshang nü
Liangliang xibian wu
Jiaojiao qiluo guang
Qingqing yunfen zhuang

('Drizzling-drizzling dripping-dripping winding:pond rain
Pair-pair single-single mandarin:ducks whisper
Burning-burning wild:flowers fragrant
Tender-tender golden:willows yellowing

Graceful-graceful river:over girls
Two-two creek:side dance
Glimmering-glimmering silk:dresses glow
Light-light cloud:powder makeup')

The difficulty in transferring the original's powerful effect into English is seen in Chow and Schlepp's (1991) translation:

The misty rain sprinkles over a curving pond,
Wild ducks are here and there muttering.
  How abundant the wildflower fragrant,
  And golden the willow swaying.

Gracefully maids by the river
Dance two by two near the water.
How bright are the white filmy silks
And light their hair and fair skin.

Based on our analysis, Allan Rodway, without the knowledge of Chinese, composes another version with a more evident intention to retain the musicality:

In drizzling mist a shapely pond:
Twinned mandarin ducks quack quietly,
Fragrantly bright wildflowers flare,
Slender, tender, the yellowing willows.

Across the river, graceful girls
Dance two by two beside the creek.
Shimmering silk, their dresses glow,
Light as cloud their powder make-up.

Chapter V

Conclusion:

From Style to Stylistic Translating

Our discussions of the three dimensions of the Structure of Meaning (SOM) commenced with the examination of the Linguistic Dimension, where textual elements have been approached as grammatical bearer and ideational information carrier organized in the relation of Modification. Later we analyzed the textual elements as interpersonal information carrier on the discourse level with regard to information presentation in the form of theme-rheme organization for communicative purposes, in terms of marked versus unmarked information presentation. Finally, we followed the line to 'information manipulation' by figurative use (metaphor and iconicity) of the linguistic resources. In this domain, textual means are viewed as the stylistic marker; both the presence and absence of figurative language can mark the stylistic features of the text in question. In this connection we are looking at the linguistic makeup of a text in the light of stylistics, in our exploration of the possibilities of a valid translation.

So, in this concluding chapter, we concern ourselves with the issue of stylistics, or rather, the issue of translatability of 'style' from the viewpoint of the relationship between the author, the translator and the reader, from the perspective of the SOM.

5.1 STANCE: AUTHOR IN THE TEXT

In writing, the author inevitably has to decide on matters such as how much information to give, what kind of information to give, what kind of information to withhold, which item(s) of information to highlight, or foreground, and in what order to present the information, with either a prospective or actual readership (which could include the author) in mind. In selecting material elements such as words and sentence patterns, the author is taking a position by adopting a certain point of view, deciding upon a certain distance to keep from the reader and attributing a certain tone to the text. In this way, as Nash (1980:157) puts it, the author is proposing 'the creation of a style'. And for our current purpose of translation studies we hold that the author is taking a Stance in the transaction, in the creation of a SOM through textualization. This Stance, neutral or emotionally charged, is three-dimensional in nature once seen in the light of SOM, as our discussions so far have shown.

One of the reasons for us to derive Stance from the general notion of 'style' is that the conventional approach to 'style', in most cases, has been 'subjective, impressionistic, unhelpful, sometimes misleading', as summed up by Tufte, who also illustrates how much confusion has been caused by such an approach (Tufte 1971:2-3). What is at the core of the issue is that what the writer proposes in the text is not style in completion, but rather a part of it, the Stance. And the Stance, a three-dimensional complex, when viewed by readers from their individual angles, lends itself to different descriptions as different dimensions may receive a different portion of attention. This has been well borne out by Tufte's (op. cit.) record of the 222 different

adjectives used by forty-four English teacher informants to describe the style and tone of the opening of Truman Capote's *In Cold Blood*. For instance, words such as *plain, precise, verbose, wordy, balanced*, are about the linguistic features of the sample text; *conversational, direct, detached, moving*, etc the interactional dynamic; while *poetic, colourful, alliterative, rhythmic*, etc reflect the aesthetic impact. More interestingly, what is seen by some as *conventional* or *natural* could appear to others *unconventional* or *artificial*. Are they looking from different viewpoints, or looking at different dimensions? We may ask.

Although the descriptions reveal only what those individual readers have been aware of as the effect the sample text had on them at that particular moment of reading, the diversity they have shown seems set to invite an unfavourable verdict on the workability of the subjective conventional perception of style in the field of translation and translation studies. To reduce the subjective elements (albeit one can never eliminate subjectivism in reading and translating entirely), we shall look into the three dimensions of the Stance, locally and globally, in our analysis of the SL text.

What should one look for in the author's Stance? Before we can answer this question, it has to be made clear that, first of all, Stance is the author-centred component in the general conception of 'style'. In other words, Stance is 'style' in Herman's (1983:110) view: 'the author's ... habitual and motivated use of language forms and types in specific domains'. And through motivated use of style the author is supposed to guide, control and even manipulate the reader's intellectual and emotional responses. This is what the author's interactional influence and artistic achievement count on. And this is why the reader and the translator are frequently advised to 'search for the intention of the

text' (Newmark 1988:12) in reading. The intention of the text, or the motivation of the author's use of language, in large measure is materialized textually through foregrounding in the form of marked versus unmarked presentation of information. Thus in translating it is 'what is foregrounded' and 'how it is foregrounded' that should concern the translator stylistically. And this is what the translator should look for in the author's Stance.

In a text, the author's Stance is there to be perceived and interpreted. Probably this is why, again as Nash (ibid) remarks, 'the writer is the stylist who creates, the reader the stylist who interprets'. In a text, the author's Stance is omnipresent, always perceivable and interpretable, if the text is meaningful. In this regard Grice's (1975) conversational maxims provide useful guidelines for interpreting Stance communicatively:

(i) The maxim of quantity: Give the required amount of information - neither too much nor too little;

(ii) The maxim of quality: Do not give the information for which you lack evidence or which you believe to be false;

(iii) The maxim of relation: Your contributions should be relevant to the purpose of the conversation;

(iv) The maxim of manner: Make your information clear and orderly.

The breaching, or flouting, of a maxim carries implicature, which, foregrounded (through flouting) in the text, points to the author's intention behind the Stance, and in Widdowson's (1993:143) terms, the flouting of any of the maxims 'is a shift of focus from addressee to

addresser'. Textual foregrounding, therefore, is carried out, in the domain of communication, by motivated choice on the author's part of what maxim(s) to violate for implicature and what maxim(s) to observe as the basis for the reader's deduction or interpretation of the textual meaning as intended by the author. In this analysis, we can say that the more maxims are violated on one occasion the more difficult the text thus produced is to interpret. If all the maxims are violated, the text will be uninterpretable and meaningless, as the four connections between the writer and the reader in social communication as presented in the four maxims are non-existent: (i) the substance of information (quantity), (ii) the validity of information viewed from the world and the author (quality), (iii) the relevance of the information to its supposed social function (relation), and (iv) the presentation of the information (manner).

5.2 STYLE: STANCE SEEN THROUGH THE TEXT

As we have maintained above, Stance is author-centred, and covers part of the meaning attributed to 'style'. This fact is noted by Hatim and Mason (1990:92) as they divide meaning into speaker/writer meaning and hearer/reader meaning and hold that 'it is more accurate to treat reader meaning as being an interpretation of writer meaning'. It should be clear now in our study that Stance belongs to writer meaning: the 'style' of the text cannot be realized until the Stance is perceived and processed by the reader in its three dimensions to yield the reader meaning. Once the author's Stance is seen by the reader through the text, it becomes style in its full sense. The style formed in the reader's

perception is reader-centred, and we shall mark it with capitalized Style as against Stance.

Stance is unique, but Style, ie, perception of Stance, varies, especially in literary texts where the way of presenting cognitive information is of more significance than in informative texts. This is because the perception of Stance is subject to a number of factors on the reader's part, among which are socio-cultural background, reading experience, attentiveness, and stylistic awareness or 'stylistic competence' in Leech and Short's (1981:48) terms. Thus, while Stance is unique to the author (as against the background of 'what he/she might have written'), Style is individual with regard to the reader (as against the responses he/she might produce at other readings of the text as well as against other readers' responses). This explains, on the one hand, the variety of 'style descriptions' recorded by Tufte above, and on the other, the importance of securing sufficient reading competence by looking at Stance in its three dimensions.

If the study of reading concentrates rightly on the interpretative rather than the creative process, the study of translating has to cover both. From the point of view of SOM, in dividing 'style' into Stance and Style we are interested in assemblage as well as analysis. In translating, the interpretative process, as in reading, is (individual-)reader-centred, and this reader is none other than the translator - it is in the translator's mind that the original's Stance is realized as Style. If this has been the first stage of translating, then the second stage, in which the translator assumes a Stance in the creation of the translation, is centred on the creativity of the translator-as-writer. The Stance thus re-created is unique to *this* translation; and further down the line, it will be realized individually as Style in the mind of each TL reader. The

realization is TL-reader-centred, now beyond the control of the translator, but it is not unpredictable. For instance, a left-branching sentence may be intended to create suspense in reading, leaving the reader waiting for the completion of information, *arresting* in Sinclair's (1966) terms as against more memory-friendly *releasing* order, an effect that should be observed and normally matched in translation if syntactically possible. This is especially so in the case of socially and logically conditioned texts such as legal documents and manuals, where closeness between Stance and Style and even a legitimate 'final' translation (at least temporary) can be expected. Even with more aesthetically and idiolectically conditioned texts such as poetry and fiction, the realization of Style should not be a random one in the hands and minds of competent readers. Once the Stance is seen as three-dimensional, the realization of Style can be guided comprehensively by the intention of the text, and the link between form and effect can thus become obvious (cf. Widdowson op. cit.). A translation of an artistic text as such, resulting from the translator's interpreting of $\text{Stance}_{\text{SL Text}}$ and shaping of $\text{Stance}_{\text{TL Text}}$, should be regarded as an artistic work in its own right, a case that has been strongly (sometimes too strongly) argued for by, eg, Raffel (1988:111, 158) and Holmes (1988:10).

5.3 STYLISTIC TRANSLATING: FROM $\text{STANCE}_{\text{SL Text}}$ TO $\text{STANCE}_{\text{TL Text}}$

If Stance can be understood as the social existence of SOM, then Style is the sum of the effects Stance has on the reader. What the author presents in the writing is virtually an intended or motivated Stance. The author can have in a particular text only one Stance whatsoever

but the Style of the text, depending on the result of the Stance's impact on the reader, can be various. And in texts of high literariness, it is even impossible to predict Style from Stance (cf. Herman op. cit.:120 and Carter and Nash 1983:138-40), as the principal characteristics of literariness, ie, the sovereignty of the text, the 'displaced' interaction between the author and the reader, and the polysemic structure, can render the assessment of the effect of literariness on the reading public, hence the prediction of individual readers' response to the text, very difficult in practical material terms. Widdowson (op. cit.:144, 146), working from speech act theory and Hallidayan functional grammar, has pointed out the 'contextual detachedness' of literary representations with regard to the reader's response in the pragmatic communication of reading.

The recognition of the fact that the author can affect the reader through the (illocutionary force of) Stance but have no (perlocutionary) control over the response of the reader, ie, over the realization of Style, enables us to obtain a clearer view of the translating process which can be charted as:

$$\text{Stance}_{\text{SL Text}} \rightarrow \text{Style}_{\text{SL Text}} \rightarrow \text{Stance}_{\text{TL Text}} \rightarrow \text{Style}_{\text{TL Text}}.$$

To achieve a valid apprehension of $\text{Style}_{\text{SL Text}}$ the translator certainly has to see through the SL text, a task that can be more difficult with the literary text in which the Stance may be well hidden from the less trained eye.

In one of his poems Xin Qiji (1140-1207 AD), a Chinese poet, has this to say about his poetic writing, when as a young man he had to force himself to feel miserable 'in order to compose a new poem', after

having partaken of all the miseries in the world he 'would say instead "What a lovely cool autumn day!"'. This points directly to the possible designed masking of Stance in literary creation, and the task left to the translator now is: Can one get to that taste of miseries through 'a lovely cool autumn day'? Here lies the key to success. As Newmark (1981:54) puts it, 'A successful translation is probably more dependent on the translator's empathy with the writer's thought than on affinity of language and culture.' Even in dealing with ancient Chinese scientific and technical texts, Needham (1958:82) maintains that the translator 'must not only translate, he must identify [with the author]'.

On the other hand, however, as a social person, the translator, in his/her pursuit of the author's Stance, can never be free of the influence of the moral values and aesthetic canons of the time. Sometimes this influence can be powerful and on a global scale as observed by Jing Wang (1989) in tracing some western scholars' misreading of the Chinese literary taste exhibited in the classic *Dream in a Red Chamber* through the 1950s and in the mid-1960s as a result of cultural 'bias'. The awareness of possible influence as such is of particular significance for translators, (who, by definition, should not identify themselves with critics or comparatists), in the representation of $\text{Stance}_{\text{TL Text}}$.

Although the TL text inevitably manifests the effects of $\text{Stance}_{\text{SL Text}}$ on the translator as a social person of his/her time, and $\text{Stance}_{\text{TL Text}}$ legitimately belongs to the translator (cf. Raffel 1971:158), from the translator's viewpoint, only by working from the SL text as a three-dimensional SOM and striving for a value-free perception can one claim to be equitable in translating and a stylistic objectivity be expected between the SL and the TL texts. This is what we call stylistic

translating. Beyond stylistic translating, $Style_{TL\ Text}$ is subject to the translator's control as much as $Style_{SL\ Text}$ to the original author's.

5.4 STYLISTICS, DISCOURSE ANALYSIS AND TRANSLATION STUDIES

Teachers of Stylistics and Discourse Analysis may not be unfamiliar with the question: 'Did authors think about all these stylistic issues when they wrote?' Usually it is asked by their earnest students. On most occasions, the offhand answer is 'NO'. One need not know about stylistics and discourse strategies to that degree of academic proficiency in order to write, exactly as our brain need not objectively know how to think in order to think. In stylistics and discourse analysis, the rational post-mortem of successful or not-so-successful human linguistic behaviour under the spell of moral or market forces, is there certainly not just to keep particular academic pots boiling. It has sharpened our understanding of ourselves reflected in our use of language and has refined considerably our communicative intuition to a more sophisticated level of efficiency. Translation studies should be one of the beneficiaries. Stylistics and discourse analysis provide landmarks in the approach to $Stance_{SL\ Text}$ and blueprints for the construction of $Stance_{TL\ Text}$. It is through the grasp of $Stance_{SL\ Text}$ that the translator can be loyal to the author; and it is through the establishment of $Stance_{TL\ Text}$, which he/she should do the best to bring as close as possible to $Style_{SL\ Text}$, that the translator can be loyal to the reader.

Translation Studies *qua* discipline, in our analysis, therefore, is firstly about how to approach the author's Stance through the SL text, to obtain a stylistic perception of the text, ie, to establish $Style_{SL\ Text}$,

secondly about how to produce in translation a Stance as close to $Style_{SL\ Text}$ as possible, and thirdly about how to compare $Style_{SL\ Text}$ and $Style_{TL\ Text}$ by taking into account the social and cultural factors involved. In this connection, SOM provides a three-dimensional perspective in theory, from which stylistic translating is derived as a method in practice.

In practice, though, the situation may not appear that simple. One of the problems that have puzzled translators is how to treat the response of the reader. Attitudes toward the issue differ greatly, and two tendencies are discernible in present-day studies of translation.

Research of the first tendency probes into the underlying reasons (linguistic, cultural, textual, etc) for a particular response the translation has evoked from the TL reader, in relation to the acceptance of the original by the SL reader. Research of this kind is usually carried out by experts who have access to the languages and the fields of knowledge concerned. This is usually done from a quality-control perspective to check on the validity of the translation, eg, in the translating of official documents. The study is also carried out by translation critics and theorists seeking for possibilities of improving the standard of translation. This tendency usually gives priority to textual stylistics and discourse information instead of the concern about the correspondence of reader response. (Consider how often a UN resolution can meet with the same response from all parties concerned, and how this fact should be allowed to affect the preparation of the different versions of the document.) Actually, lack of correspondence in this respect may lead to some interesting topics such as comparative cultural studies. The risk of this tendency, when it runs too far, is subjectivism and even cultural discrimination if researchers rely too

much on their own (scholarly) readings and forget the fact that they are just a (probably privileged) coterie among the reading public at large.

The second tendency is to treat reader response as the principal criterion of the success of the translation: the more favourably the translation is accepted the better it is, (sometimes) regardless of the quality and intention of the original. The belief can be useful in defense of certain types of translating practice, for instance the translation of pop fiction and religious literature, but if pursued to the extreme it carries the risk of leaving translation studies at the mercy of something no more than market research. If a theory is developed (ironically by the expert) to prove that the expert should be excluded from the assessment of a translation, and if only the putative reader's response should count, it is self-defeating in the first place. If ordinary readers' approval should be the only mark of success, then the sheer number of two million copies of I.A. Richards' translation of Plato's *Republic* distributed by the U.S. government in the 1940s could have made his experimental translating, which simplifies the originals 'not only in language but in structure and design', 'ruthless[ly] cutting ... the originals ... by about 50 percent' (Russo 1989:480, 481), the pacemaker in the mainstream of translation practice.

Stylistic translating to reconstruct the original's three-dimensional SOM in the target language, however, works in a different way, by taking stylistic and discourse analysis as its basis. It assumes in theory cultural equality between the source language and the target language. It upholds the concept of discourse appropriateness in the linguistic conventions of both the source and the target languages, but at the same time acknowledges the author's and the translator's habitual use

of their respective languages. In the practice of stylistic translating. the SL text is the only constant, while the rest are variables that can be further subject to factors such as the degree of openness of the TL culture to the outside world and the currency of the SL culture in a particular period of time. In a word, the SOM of the TL text is constructed in the process of stylistic translating in correspondence with the SOM of the SL text in all their three dimensions.

Appendix I

Liu Yong: Farewell

Chinese Original

雨霖铃

寒蝉凄切，对长亭晚，骤雨初歇。都门帐饮无绪，方留恋处，兰舟催发。执手相看泪眼，竟无语凝噎。念去去、千里烟波，暮霭沉沉楚天阔。　　多情自古伤离别，更那堪，冷落清秋节。今宵酒醒何处？杨柳岸、晓风残月。此去经年，应是良辰好景虚设。便纵有、千种风情，更与何人说？

English Translation

FAREWELL

To the tune of *Yulinling*

A miserable cicada is moaning in the cold,
Over the wayside pavilion's darkening form,
After the wash of a sudden storm.
In a tavern by the city gate
Gloomy over a cup,
I hesitate,
While the departing boat is calling.
Hand in hand, we are lingering
In each other's tearful eyes,
At a loss for words, even for sobs and sighs.
Ahead, expanse of smoky waves lies
Beneath the pressing haze
Spanned by the vast Southern Skies.

A sentimental soul at farewell
Is always stricken by dismay;
How can he stand the travel
On such a bleak autumnal day!
- Where will I find myself, soon,
When my night drunkenness is gone?
With a setting moon,
Chilled in the breeze of dawn:
On the banks, weeping willows forlorn.
Any happy moments there may be,
In years of loneliness, of sorrow,
Are not moments meant for me;
Even though
Thousands of tender feelings there
Might in me overflow,
With whom could I share?

Appendix II

Li Bai: Perilous Journey to the Land of Shu

Chinese Original

蜀道难

噫吁嚱! 危乎高哉!
蜀道之难难于上青天。
蚕丛及鱼凫，
开国何茫然!
尔来四万八千岁，
不与秦塞通人烟。
西当太白有鸟道，
可以横绝峨眉巅。
地崩山摧壮士死，
然后天梯石栈相钩连。
上有六龙回日之高标，
下有冲波逆折之回川。
黄鹤之飞尚不得过，
猿猱欲度愁攀援。
青泥何盘盘!
百步九折萦岩峦。
扪参历井仰胁息，
以手抚膺坐长叹。
问君西游何时还，
畏途巉岩不可攀。
但见悲鸟号古木，
雄飞雌从绕林间。
又闻子规啼，
夜月愁空山。
蜀道之难难于上青天，
使人听此凋朱颜。
连峰去天不盈尺，

English Translation

Perilous Journey to the Land of Shu

Alas! The height, the staggering height!
The road to Shu, so steep, steeper than Heaven.
Where are those founders of the Shu Kingdom?
Long forgotten in that land, unknown for
Thousands of years, to the outside world!
Mount Tai Bai sitting to the west -- a pass
Trying the birds' flight to Emei.
Many a heroic death,
Among collapsing crags and cracking tops,
Paved a human path hanging and threading
Through peaks and rocks.
Overhead, the six-dragon chariot of the Sun
Finds no way round;
Down the cliffs, a swirling torrent tears,
Battering against ragged land.
What a journey - a despair even to
Noble flying cranes and agile climbing monkeys!
That Grey Earth Ridge, that breath-taking height --
Winding, wringing, coiling --
I could touch the sky on top of it.
But defeated by the climb,
You cannot but give up, with a deep sigh.
When are you to return
From your westbound journey, may I ask?
Look at those defiant peaks
And treacherous trails -- can you manage?
All ahead is but miserable birds wailing
In the ancient jungles, flying.
Males in front, females following.
Listen, the persuasive cuckoo is calling again,
'Go home, go home!'
We stay in a deserted valley
With a bleak moon.
Alas!
The road to Shu, so steep, steeper than heaven!
A decolouring, youth-draining, courage-wearing trip!
Peak upon peak piling to the sky -- a mere foot away.

枯松倒挂倚绝壁。	Pine trees pegged on the precipices
飞湍瀑流争喧豗，	By a thousand years' weathering,
砯崖转石万壑雷。	Dashing waterfalls rocking the valleys
其险也若此，	With an everlasting thunderstorm.
嗟尔远道之人胡为乎来哉!	It couldn't be more dangerous,
剑阁峥嵘而崔嵬，	But why should you have struggled so far here?
一夫当关，	Don't you see that forbidding Sword Pass --
万夫莫开。	One defender there, and
所守或非亲，	A whole army's attack would be blocked.
化为狼与豺。	If he is not your man,
朝避猛虎，	You are doomed.
夕避长蛇。	Hide from tigers at dawn,
磨牙吮血，	And look out for snakes at night -- in this land of
杀人如麻。	Teeth-grinding, blood-sucking, murderous beasts.
锦城虽云乐，	The capital of Shu may boast a city of joy, but
不如早还家。	Isn't it better back home?
蜀道之难难于上青天，	The westbound road to Shu, so steep,
侧身西望长咨嗟。	Steeper than Heaven!
	I plod my way, step by step, sigh after sigh.

* The translation was published with the original and a modern Chinese translation in *Journal of Macrolinguistics*, No.1, 1992.

Appendix III

Zhu Ziqing: Moonlight Over the Lotus Pond

Chinese Original

荷 塘 月 色

这儿天心里颇不宁静。今晚在院子里坐着乘凉，忽然想起日日走过的荷塘，在这满月的光里，总该另有一番样子吧。月亮渐渐地升高了，墙外马路上孩子们的欢笑，已经听不见了；妻在屋里拍着闰儿，迷迷糊糊地哼着眠歌。我悄悄地披了大衫，带上门出去。

沿着荷塘，是一条曲折的小煤屑路。这是一条幽僻的路；白天也少人走，夜晚更加寂寞。荷塘四面，长着许多树，蓊蓊郁郁的 。路的一旁，是些杨柳，和一些不知道名字的树。没有月光的晚上，这路上阴森森的，有些怕人。今晚却很好，虽然月光也还是淡淡的。

路上只我一个人，背着手踱着。这一片天地好像是我的；我也像超出了平常的自己，到了另一世界里。我爱热闹，也爱冷静；爱群居，也爱独处。像今晚上，一个人在这苍茫的月下，什么都可以想，什么都可以不想，便觉是个自由的人。白天里一定要做的事，一定要说的话，现在都可不理。这是独处的妙处；我且受用这无边的荷香月色好了。

English Translation

Moonlight Over the Lotus Pond

I have felt quite upset recently. Tonight, when I was sitting in the yard enjoying the cool, it occurred to me that the Lotus Pond, which I pass by everyday, must assume quite a different look in such moonlit night. A full moon was rising high in the sky; the laughter of children playing outside had died away; in the room, my wife was patting the son, Run-er, sleepily humming a cradle song. Shrugging on an overcoat, quietly, I made my way out, closing the door behind me.

Alongside the Lotus Pond runs a small cinder footpath. It is peaceful and secluded here, a place not frequented by pedestrians even in the daytime; now at night, it looks more solitary, in a lush, shady ambience of trees all around the pond. On the side where the path is, there are willows, interlaced with some others whose names I do not know. The foliage, which, in a moonless night, would loom somewhat frighteningly dark, looks very nice tonight, although the moonlight is not more than a thin, greyish veil.

I am on my own, strolling, hands behind my back. This bit of the universe seems in my possession now; and I myself seem to have been uplifted from my ordinary self into another world. I like a serene and peaceful life, as much as a busy and active one; I like being in solitude, as much as in company. As it is tonight, basking in a misty moonshine all by myself, I feel I am a free man, free to think of anything, or of nothing. All that one is obliged to do, or to say, in the daytime, can be very well cast aside now. That is the beauty of being alone. For the moment, just let me indulge in this profusion of moonlight and lotus fragrance.

曲曲折折的荷塘上面，弥望的是田田的叶子。叶子出水很高，像亭亭的舞女的裙。层层的叶子中间，零星地点缀着些白花，有袅娜地开着的，有羞涩地打着朵儿的；正如一粒粒的明珠，又如碧天里的星星，又如刚出浴的美人。微风过处，送来缕缕清香，仿佛远处高楼上渺茫的歌声似的。这时候叶子与花也有一丝的颤动，像闪电般，霎时传过荷塘的那边去了。叶子本是肩并肩密密地挨着，这便宛然有了一道凝碧的波痕。叶子底下是脉脉的流水，遮住了，不能见一些颜色；而叶子却更见风致了。

月光如流水一般，静静地泻在这一片叶子和花上。薄薄的青雾浮起在荷塘里。叶子和花仿佛在牛乳中洗过一样；又像笼着轻纱的梦。虽然是满月，天上却有一层淡淡的云，所以不能朗照；但我以为这恰是到了好处——酣眠固不可少，小睡也别有风味的。月光是隔了树照过来的，高处丛生的灌木，落下参差的斑驳的黑影，峭愣愣如鬼一般；弯弯的杨柳的稀疏的倩影，却又像是画在荷叶上。塘中的月色并不均匀；但光与影有着和谐的旋律，如梵婀玲上奏着的名曲。

荷塘的四面，远远近近，高高低低都是树，而杨柳最多。这些树将一片荷塘重重围住；只在小路一旁，漏着几段空隙，像是特为月光留下的。树色一例是阴阴的，乍看象一团烟雾；但杨柳的丰姿，便在烟雾里也辨得出。树梢上隐隐约约的是一带远山，只有些大意罢了。树缝里也漏着一两点路灯光，没精打彩的，是渴睡人的眼。这时候最热闹的，要数树上的蝉声与水里的蛙声；但热闹是它们的，我什么也没有。

All over this winding stretch of water, what meets the eye is a silken field of leaves, reaching rather high above the surface, like the skirts of dancing girls in all their grace. Here and there, layers of leaves are dotted with white lotus blossoms, some in demure bloom, others in shy bud, like scattering pearls, or twinkling stars, or beauties just out of the bath. A breeze stirs, sending over breaths of fragrance, like faint singing drifting from a distant building. At this moment, a tiny thrill shoots through the leaves and flowers, like a streak of lightning, straight across the forest of lotuses. The leaves, which have been standing shoulder to shoulder, are caught trembling in an emerald heave of the pond. Underneath, the exquisite water is covered from view, and none can tell its colour; yet the leaves on top project themselves all the more attractively.

The moon sheds her liquid light silently over the leaves and flowers, which, in the floating transparency of a bluish haze from the pond, look as if they had just been bathed in milk, or like a dream wrapped in a gauzy hood. Although it is a full moon, shining through a film of clouds, the light is not at its brightest; it is, however, just right for me—a profound sleep is indispensable, yet a snatched doze also has a savour of its own. The moonlight is streaming down through the foliage, casting bushy shadows on the ground from high above, dark and checkered, like an army of ghosts; whereas the benign figures of the drooping willows, here and there, look like paintings on the lotus leaves. The moonlight is not spread evenly over the pond, but rather in a harmonious rhythm of light and shade, like a famous melody played on a violin.

Around the pond, far and near, high and low, are trees. Most of them are willows. Only on the path side can two or three gaps be seen through the heavy fringe, as if specially reserved for the moon. The shadowy shapes of the leafage at first sight seem diffused into a mass of mist, against which, however, the charm of those willow trees is still discernible. Over the trees appear some distant mountains, but merely in sketchy silhouette. Through the branches are also a couple of lamps, as listless as sleepy eyes. The most lively creatures here, for the moment, must be the cicadas in the trees and the frogs in the pond. But the liveliness is theirs, I have nothing.

36 忽然想起采莲的事情来了。采莲是江南的旧俗。38 似乎很早就有，而六朝时为盛；从诗歌里可以约略知 39 道。采莲的是少年的女子，他们是荡着小船，唱着艳 40 歌去的。采莲人不用说很多，还有看采莲的人。那是 42 一个热闹的季节，也是一个风流的季节。 梁元帝《采莲赋》里说得好：

于是妖童媛女，荡舟心许；鹢首徐回，兼传羽杯；欋将移而藻挂，船欲动而萍开。尔其纤腰束素，迁延顾步；夏始春余，叶嫩花初 ，恐沾裳而浅笑，畏倾船而敛裾。

43 可见当时嬉游的光景了。这真是有趣的事，可惜我们现在早已无福消受了。

45 于是又记起《西州曲》里的句子：

采莲南塘秋，莲花过人头； 低头弄莲子，莲子清 如水。

46 今晚若有采莲人，这儿的莲花也算得“过人头”47 了；只不见一些流水的影子，是不行的。这令我到底 48 惦着江南了。——这样想着，猛一抬头，不觉已是自己的门前；轻轻地推门进去，什么声息也没有，妻已睡熟好久了。

一九二七年七月，北京清华园

* The translation was published with the original and the translator's notes in *Chinese Translators Journal*, No.1, 1992.

Suddenly, something like lotus-gathering crosses my mind. It used to be celebrated as a folk festival in the South, probably dating very far back in history, most popular in the period of Six Dynasties. We can pick up some outlines of this activity in the poetry. It was young girls who went gathering lotuses, in sampans and singing love songs. Needless to say, there were a great number of them doing the gathering, apart from those who were watching. It was a lively season, brimming with vitality, and romance. A brilliant description can be found in *Lotus Gathering* written by the Yuan Emperor of the Liang Dynasty:

> So those charming youngsters row their sampans, heart buoyant with tacit love, pass on to each other cups of wine while their bird-shaped prows drift around. From time to time their oars are caught in dangling algae, and duckweed float apart the moment their boats are about to move on. Their slender figures, girdled with plain silk, tread watchfully on board. This is the time when spring is growing into summer, the leaves a tender green and the flowers blooming, —among which the girls are giggling when evading an outreaching stem, their skirts tucked in for fear that the sampan might tilt.

That is a glimpse of those merrymaking scenes. It must have been fascinating; but unfortunately we have long been denied such a delight.

Then I recall those lines in *Ballad of Xizhou Island*:

> Gathering the lotus, I am in the South Pond, /The lilies in autumn reach over my head; /Lowering my head I toy with the lotus seeds. /Look, they are as fresh as the water underneath.

If there were somebody gathering lotuses tonight, she could tell that the lilies here are high enough to reach over her head; but, one would certainly miss the sight of the water. So my memories drift back to the South after all.

Deep in my thoughts, I looked up, just to find myself at the door of my own house. Gently I pushed the door open and walked in. Not a sound inside, my wife had been asleep for quite a while.

Qinghua Campus, Beijing

July, 1927

Parallel Structures and Reduplicated Words In 'Moonlight Over the Lotus Pond': A brief survey

There are in total 48 sentences in the text.* Of these 21 whole sentences (plus one clause of a 22nd) belong to Commentary and Internal Description of thoughts and emotions. They are sentences Nos. 1, 2, 11-16, 27 (half), 35, and 36-47. The rest of the sentences, 26½ in number, are devoted to External Description of physical scenery or objects; they are sentences Nos. 3-10, 17-26, 27 (half), 28-34, and 48.

There are in total 27 reduplicated words in the text. Of these, 19 are of XX pattern, 6 XXYY, and 2 XYY. (For the formations and effects of reduplicated words, see 4.4.1.) The distribution of reduplicated words in the text shows a striking contrast between Commentary and Internal Description on the one hand and External Description on the other. This is seen as follows:

(i) there is one in sentence No. 2, the only reduplicated word that occurs in Commentary and Internal Description;

(ii) the rest of the words are found in sentences Nos. 3 (two), 4 (one), 7 (one), 9 (one), 10 (one), 17 (two), 18 (one), 19 (three), 20 (one), 22-25 (one each), 27 (one), 28 (two), 30 (two), 31-33 (one each), 48 (one). Hence, there are 26 reduplicated words counted in the 26½ sentences of External Description.

There are 8 parallel structures found in the text, appearing in sentences Nos. 13-15, 19, 27, 39, and 41. The distribution also shows a striking contrast, but in a reversed way. Two of the structures are found in sentence No. 19, the only sentence of External Description that contains parallelism. The remaining six of them are all found in Commentary and Internal Description, that is, one in each of the sentences No. 13-15, 27, 39 and 41.

It is worth noting that sentence No. 19 is the direct physical description of the lotus lilies on which the author has pinned a lot of his emotion, and textually the heaviest, containing three reduplicated words and two parallel structures. The group of sentences Nos. 13-15 constitute the centre of the third paragraph, the only paragraph in the text that gives direct vent to the author's suppressed indignation. With one parallel structure in each of the three sentences, they form what may be thought of as a syntactic 'peak', at which the ideal of freedom ('being a free man') is poised textually. The contrasts and twists conceived in these parallel structures, and the helpless mental conflict betrayed in the anticlimax in sentence No. 16, (the escape into the lilies and moonlight), are all hinged on the 'end focus' of sentence No. 14, the airing of the ideal, to be a free man. From the viewpoint of textual development, the syntactic density thus serves to gather a considerable amount of potential energy for the (ironic) anticlimax at the end of the paragraph.

Repetition is at the core of reduplication and parallelism, giving a wave-like rhythm to the text. So far as textual effect is concerned, reduplication, ie repetition on the word level, moves like ripples reaching for the finest details of perceptions, while parallelism, ie repetition of a higher order, surges like an oncoming tide, crashing on

the very foundations of mind. In this light, the distribution of reduplication and parallelism in this text as we have revealed certainly is not a purely fortuitous phenomenon.

Hence, besides the use of '-y' words and the consideration of sound effect in general terms, it is on repetition that the treatments of reduplication and parallelism with regard to a matching effect have been based, as seen in the translation of the following sentences:

(1) Nos. 7 and 28: the intended repetition of *sh* sound in 'lush, shady ambience' and 'bushy shadows', as against 'luxuriant' and say 'shadowy' respectively;

(2) Nos. 13-15: the parallel of formally identical phrases similar to the original, the repetition of the word *free*;

(3) Nos. 17 and 18: the alliteration in 'winding ... water, what ...', repetition of the long vowel [i:] in *meet, field, leaves, reaching*;

(4) No. 19: the alliteration in 'layers of leaves', the parallel structures similar to those in the original such as 'in demure bloom, in shy bud';

(5) No. 30: the repetitive use of binomials in 'far and near, high and low' to match the original in enacting the spatial immensity.

* Only the sentences in the original text are counted. In the translation there are separations and mergers of sentences, which are traceable from the original. The number of a sentence is marked at the head of the line in which the beginning of the sentence appears.

If a line contains two sentence beginnings, only the number of the first sentence is marked.

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Annex

Graphic Version of the Chinese Text

Of Some Examples

[2.5 tr]

她那丰满的，粘腻地闪着亮的双唇莞尔一笑。

[2.6 tr]

他抓住护士的一只手摇着，露出满口不整齐的黄牙微笑着。

[2.6 tr.i]

他抓住护士的一只手摇着，微笑着，露出满口不整齐的黄牙。

[2.7]

没有人回驳他，也没有人附和他。大家无声的让出一条路，由他出去，呆然的，失落地。

（於梨华 《又见棕榈 又见棕榈》，第十八章）

[2.9 tr]

“这娃儿是公的还是母的?”

[2.13]

望不见路，三两粒灯火，

一片昏暗，一片风。

[2.14 tr.i]

店门客气地卡答一声关上了。

[2.14 tr.ii]

店门客气地卡答一声关了。

[3.3]

(1) 做人嘛，是要现实点。

(2) 做人嘛，现实点。

(3) 做人要现实点。

[3.7 tr]

(i) 书被保罗找到了。

(ii) 保罗找到了书。

(iii) 书是保罗找到的。

(iv) 是保罗找到了书。

[3.8 tr]

书是保罗在抽屉里找到的。

[3.9 tr]

书保罗是在抽屉里找到的。

[3.10 tr]

(1) 在摄影室里人们非常注意灯光配置。

(2) 这是一项技术要求很高，并且会是非常困难的工作。

(3) 做好了谁也不会注意，可做差了又显眼得很!

(4) 图 20.5(b) 说明了如何采用辅助灯光来“填补”影区。

(5) 这样做是为了使光影柔和，如图示不致于显得那么刺眼。

[3.13]

那个胖人对意姗看了几眼，虽然没有忘了继续喝他的汤。

[Figure (3.7)]

们

“你知道吗/吧，冬天一来你^周围便是无边无际的泥泞?”

[Figure (3.8)]

“多少钱你买下来了?”

[3.22 tr.i]

凡是有钱的单身汉，总想娶位太太，这已经成了一条举世公认的真理。

[3.22 tr.ii]

这一条真理举世公认：单身男人拥有一大笔财产，就必定需要一个太太。

[3.23 tr]

(1) 我这会儿正坐在书桌边写明信片给你。

(2) 窗子外边是一大片树木环绕的草坪，

(3) 草坪当中是个花坛。

(4) 春天时花坛上开满了黄水仙和郁金香。

(5) 你会喜欢这儿的。

(6) 你什么时候应该来这儿住上一阵;

(7) 我们房子很宽敞。

Chapter III, Note 9

你总该懂得吧，那“方舟” 不只是单单一条船? …… 是不是下了四十天四十夜的雨? …… 水是不是把陆地淹了一百五十天?

Chapter III, Note 10

又是在寂静的月夜之下，我坐在小桌前，拿起笔，望着窗外的那一轮清澄明媚的圆月，静静地向你倾诉着我的心声。

[4.2 tr.i]

岁月在他额上留下了深深的皱纹。

[4.2 tr.ii]

岁月在他额上犁下了一道道深沟。

[4.3 tr]

他的脑筋简直象旱地里的钝犁头。

[4.5]

去年，国外女装比较流行暖色，如: 火红、紫、酱红、葡萄酒红 ……。

(轻工出版社 《现代服装》)

[4.4 tr]

…… 一个明亮的玫瑰色天地。 …… 然后轻轻拂过颜色象红葡萄酒的地毯，尤如风吹海面似地掠起一层阴影。

[4.6 tr]

“那些把事情弄糟的人溜了，退伍军人们吃了亏还得背黑锅……”

[4.9]

“从今天起我不再是你的妻子，我不再是汪太太了。你可以另外找一个能够了解你，而且比我更爱你，而且崇拜你母亲，而且脾气好的女人做你的太太。我对你没有好处，我不是一个贤妻良母。”

（巴金 《寒夜》）

[4.10]

事实上他第二天还来，第三天还来，第四天还来，一直到第六天还来。

[4.10 i]

事实上他第二天还来，第三天，第四天，一直到第六天还来。

[4.11]

他们谈得不多，要谈也是悄悄地谈，没什么具体的话好谈，一点具体的东西也没谈，一点也没谈。

[4.12 tr]

太阳月亮，太阳月亮，时光流逝。

[4.15 tr]

小亨利·卡特-克拉克出生一事，按卡特-克拉克家族历代相沿的在《泰晤士报》上刊登出生公告的规矩，在该报上登了公告；这孩子，就同公告本身的电脑排版一样，是老传统和新技术的合成物。

[4.18 tr]

一钩月牙高挂，淡淡的月色笼罩着参差不齐，黑魆魆 的摩天大楼。

[4.19 tr]

无穷的轮回，无穷的生生死死，无穷的浮浮沉沉 …… 不尽的轮回，无穷的变迁。

Chapter IV, Note 7

霏霏点点回塘雨

只只双双鸳鸯语

灼灼野花香

依依金柳黄

盈盈江上女

两两溪边舞

皎皎绮罗光

轻轻云粉妆