

LITERARY STYLISTICS AND TRANSLATION  
-- with particular reference to English translations  
of Chinese prose fiction

Dan Shen

Ph.D.

University of Edinburgh

1987



**BEST COPY**

**AVAILABLE**

Variable print quality

## Declaration

This thesis is my original work and is of my own composition.

*Shen Dan*  
Dan Shen

## ABSTRACT

Leaving aside the Introduction and the Conclusion, this thesis consists of two parts. Part One, composed of Chapters Two to Four, explicates the nature, function and validity of stylistics as an intermediary discipline (with reference to English only). This part focuses on three closely related aspects, starting in Chapter Two from an examination of the objects of investigation of stylistics, and proceeding to a consideration in Chapter Three of the stylistician's characteristic mode of argumentation, i.e. the progression in argument from one frame of reference, that of linguistic form, to another, that of literary significance. This is followed by a discussion in Chapter Four of the objectivity of the linguistic basis involved in stylistic analysis.

Part Two, which comprises Chapters Five to Eight, argues for and demonstrates the usefulness of applying literary stylistics to the translation of prose fiction, an application that, in relation to English and Chinese at any rate, has seldom been undertaken. While Chapter Five discusses on a theoretical level the place of stylistics in fictional translation, the other three chapters present practical analysis, covering respectively aspects of syntax, of lexical expression, and of speech and thought presentation. Most of the data are drawn from English translations of Chinese prose fiction, especially Cao Xueqin's Honglou Meng (written in the middle of the eighteenth century) and the works of some modern Chinese writers, such as Lao She, Lu Xun and Mao Dun.



## ACKNOWLEDGEMENTS

I owe a special debt of gratitude to my supervisors Professor James P. Thorne and Mr. Norman Macleod. I am deeply grateful to them for their expert guidance and stimulating discussions, for their always helpful general comments as well as specific corrections, and for their continual support and assistance in the preparation of the thesis. Special thanks are also due to Dr. A.W.E. Dolby who went through Part Two, giving helpful comments particularly on points and issues associated with the Chinese original. I would also like to thank Mrs Elizabeth Black who at an earlier stage gave advice on my discussion of speech presentation, which forms the basis of the present Chapter Eight. Gratitude is due also to Professor Jonathan Culler for reading and commenting on the draft of Chapter Three and Four.

As for generous financial support, I am deeply indebted to an Edinburgh University Postgraduate Studentship, to an Overseas Research Students Award, to a scholarship from the Chinese government, and to an Edward Boyle Research Scholarship (which enabled me to attend three MLA Conventions).

## CONTENTS

Abstract	iii
Acknowledgements	iv

Chapter 1 INTRODUCTION	1
1.1. Basic Aims	1
1.2. Literary Stylistics	2
1.3. Applying Stylistics to Literary Translation	7

### PART ONE LITERARY STYLISTICS AS A DISCIPLINE

Chapter 2 THE CONCERN OF STYLISTICS AS AN INTERMEDIARY DISCIPLINE	14
2.1. Some Different Conceptions of Style	14
2.1.1. Style as genre or period characteristics	14
2.1.2. Style as habitual traits of the author	15
2.1.3. Style as artistically or thematically motivated choices	18
2.2. Objects of Investigation of Literary Stylistics	20
2.2.1. Linguistic form	20
2.2.2. Fictional 'facts'	28
Chapter 3 LINGUISTIC FORM AND LITERARY SIGNIFICANCE	31
– in defence of literary stylistics in terms of its characteristic mode of argumentation	
Chapter 4 THE LINGUISTIC BASIS: OBJECTIVE OR SUBJECTIVE?	65
4.1. Linguistic Objectivity: A Matter of Convention	66
4.2. Structural Feature, Psychological Value and Literary Significance	67
4.2.1. A basic distinction	67
4.2.2. Degrees of objectivity	69
4.2.3. Deviation and objectivity	79
4.3. Does Interpretation Produce Linguistic Facts?	79
4.3.1. Linguistic convention vs. interpretation	80
4.3.2. Literary convention vs. interpretation	83
4.4. A Consideration of 'What is Stylistics? Part II'	87

### PART TWO APPLYING STYLISTICS TO THE TRANSLATION OF FICTION

Chapter 5 THE PLACE OF STYLISTICS IN THE TRANSLATION OF FICTION	93
5.1. The Insufficiency of General Translation Studies	93
5.2. Characteristics of Fictional (vs. Poetic) Translation	96
5.2.1. Less formal constraints	97
5.2.2. Deceptive equivalence	98
5.3. Literary Stylistics and Deceptive Equivalence	110

Chapter 6	ASPECTS OF LEXICAL EXPRESSION	113
6.1.	Deviation in the Form of 'Illogicality'	113
6.1.1.	'Illogicality' and irony	114
6.1.2.	'Illogicality' and authenticity	128
6.1.3.	'Illogicality' and intensity	134
6.1.4.	'Illogicality' and suspense	141
6.2.	Objectivity	145
6.3.	Reliability	159
6.4.	'Redundant' Encoding	177
6.4.1.	Encoding a normally presupposed process	177
6.4.2.	Encoding entailed quantity predicates	181
Chapter 7	ASPECTS OF SYNTAX	184
7.1.	Syntax and Pace	185
7.2.	Syntax and Prominence	195
7.3.	Syntax and the Imitation of Process	206
7.3.1.	Premodification	207
7.3.2.	Sequencing	212
7.3.3.	Juxtaposition	215
7.4.	Parallelism	219
7.4.1.	Adaptation of form	220
7.4.2.	The preservation of parallelism	223
7.5.	Linguistic Form and Fictional Reality	231
7.5.1.	Imitating the fictional reality	231
7.5.2.	Shaping the fictional reality	232
7.5.3.	Imitating or Shaping?	234
Chapter 8	SPEECH AND THOUGHT PRESENTATION	237
8.1.	Two Speech Situations	238
8.2.	Basic Modes in English	239
8.3.	Basic Modes in Chinese	241
8.3.1.	The formal relationship between DS and IS	242
8.3.2.	NRSA, FIS, FDS	242
8.3.3.	Blend	243
8.3.4.	A general framework	244
8.4.	The Transference of DS	244
8.4.1.	From DS to DS (or FDS)	245
8.4.2.	From DS to IS (or NRSA)	252
8.5.	The Transference of Blend	264
8.5.1.	FIS(T)/FDS(T)	267
8.5.2.	IS/FDS	269
8.5.3.	NR/FIS/FDS	272
8.6.	The Functions of FIS and the Need for its Preservation	275
8.6.1.	Common function or peculiar function	275
8.6.2.	Irony	277
8.6.3.	Empathy	279
8.6.4.	Polyvocality and semantic density	279
8.7.	The Transference of Slipping	280
8.8.	A Potential Trap of Commitment	290
Chapter 9	CONCLUSION	294
Notes		304
Bibliography		334



## CHAPTER 1

### INTRODUCTION

#### 1.1. BASIC AIMS

The present work has two basic aims. One is to argue, mainly by way of practical analysis, for the usefulness and necessity of a stylistic approach to the study of literary translation in general and of the translation of prose fiction in particular. Despite the fact that the literary translator's choice of words, syntax etc. frequently raises stylistic issues and that literary translation therefore constitutes a congenial area of stylistic investigation, attempts at applying stylistics to literary translation have so far, in relation to English and Chinese at any rate, been very rare.<sup>1</sup> Thus, in contrast with the more or less sophisticated stylistic analysis widely undertaken in Anglo-American intralingual literary studies for the past twenty-five years or so (stylistics, it must be noted, was not introduced into mainland China until around 1980), criticism of literary translation, particularly of the translation of prose fiction, has remained remarkably traditional, characterized by general and impressionistic comments on style or by an intuitive analysis with a notable lack of sensitivity to subtle stylistic devices. To bring studies of literary translation up to date and to improve, as a result, the quality and standard of literary translating, there is surely an urgent need to replace traditional impressionistic approaches with more precise and more penetrating stylistic models and methods.

Stylistics, however, is not here taken for granted. And this brings us to another basic aim of the present study, which is to explicate the nature, function and validity of literary stylistics as a discipline (with reference to English only). The stimulus for this explication came from two contrasting sources: the vagueness of the claims made by some proponents on the one

hand and the fallaciousness of the attacks made by some opponents on the other. While issues such as the objects of investigation and, more significantly, the characteristic mode of argumentation of stylistics will be discussed in considerable detail, no attempt is made to summarize its historical development, or to study and compare the linguistic models employed by stylisticians, for such a study lies beyond the scope of the present work.

In accordance with the two basic aims, the thesis is divided into two major parts, with the first part examining stylistics as a discipline and with the second arguing and demonstrating the application of stylistics to the translation of prose fiction. It need hardly be said, though, that the contribution to stylistics which this study seeks to make is not confined to the first part. The problems and solutions that emerge in interlingual fictional transfer, as will be extensively analysed in the second part, help to reveal certain of the essential aspects of novelistic technique, offering fresh insights into the functions or values of stylistic devices as well as into the relevant literary conventions which condition the writer/translator's choices and which tend to remain opaque within the boundary of a single language.

## 1.2. LITERARY STYLISTICS

Anglo-American literary stylistics originated and developed under the combined influence of developments in modern linguistics, Anglo-American practical criticism, French structuralism, the Russian Formalist School and the Prague Linguistic Circle. Marked by the use of linguistic models in the interpretation of literary texts, this is a discipline mediating between literary criticism and linguistics of different levels and various forms.

This intermediary discipline is referred to, apart from the unqualified title 'stylistics', either as 'literary stylistics' or as 'linguistic stylistics'<sup>2</sup>. The former stresses its difference from a descriptively-oriented approach to literary texts,

an approach which treats literary texts as data or as formal linguistic objects; and an approach where the main thrust is directed towards the possibility or necessity of applying linguistic theory to the description of literary texts, and/or towards the exemplification of the linguistic system with the textual features concerned, and/or towards the explication of a linguistic model adopted in the analysis (see, for instance, Halliday, 1966 & 1967:217–223; Sinclair, 1966 & 1968; Thorne, 1965 & 1969; Levin, 1967). With the aim of supporting or promoting literary interpretation and taking literary texts as communicative acts, literary stylisticians operate along the lines of traditional common-sense based interpretative strategies of literary significance, focusing on linguistic choices which are thematically or artistically motivated.

The label 'linguistic stylistics' emphasizes on the other hand the difference between this intermediary discipline (which is based on or informed by modern linguistics) and the more traditional approaches to literary style. If stylistics can be treated, at least in part, as an extension of practical criticism, the extension mainly lies in linguistic observations and insights, in the analytic and systematic knowledge of communicative and linguistic norms (cf. Carter, 1982:4–7). In stylistics, that is to say, the emphasis falls both on the explicitness or precision of the linguistic description and on the resultant literary effects. Analysts are often eclectic in approach, drawing on whatever different linguistic models are called for in the analysis.

By now, stylistic investigation has been extended to all levels of linguistic structure and to all the three major literary genres of poetry, prose fiction, and drama. During the past fifteen years or so, there has emerged an increasing interest in fictional prose but on the whole poetry, because of its higher frequency of foregrounding and the shorter length of the text as a thematic unity, has been given more attention. Thus, although the second part of this work will focus on the translation of prose fiction, in discussing stylistics as a



discipline, I shall quite often touch on stylistic analysis of poetry. It is true that the two genres differ considerably in terms of stylistic properties (the phonological property, for instance, does not feature in the novel while modes of speech are hardly found in poetry). But the conventions which underlie the literary significance of linguistic form are essentially the same in both genres; and this in turn determines that stylistic analyses of both, as will be discussed in Chapters Three and Four, share fundamentally the same mode of argumentation.

The discussion of stylistics as a discipline will start, in the following chapter, from a scrutiny of its characteristic concern. A basic distinction between linguistic habits and aesthetically motivated choices will be drawn as a prelude to a consideration of two contrasting levels of stylistic investigation, viz., linguistic form and, with reference to traditional realistic fiction in particular, fictional 'facts'.

Helpful to an understanding of the artistic function of linguistic form, which constitutes the most prominent and typical object of stylistic analysis, is the distinction drawn by the Russian critic, Mikhail Bakhtin, between the 'monologic' and the 'dialogic' types of literary work (1973, 1981). Poetry, drama and the ordinary type of European prose fiction are, according to Bakhtin, essentially 'monologic', a type which is marked by a single thematic unity dominated by a single all-encompassing **authorial consciousness**, forming a contrast to the (unusual) 'dialogic' or 'polyphonic' type characterized by a plurality of autonomous voices and consciousnesses (as exemplified by Dostoevsky's novels). The monologic nature of the ordinary literary text apparently underlies the critic's familiar talk about artistic whole or organic unity and accounts for the critic's predominant concern with the impact of authorial vision or with the function of authorial norms (conveyed either directly or derivatively as in the case of first-person narration). In a monologic literary work, linguistic form is

typically manipulated to embody authorial viewpoint, tone and attitude, elements which are seen here to take on great thematic significance and which have a much lesser role to play in a 'dialogic' work or, as I shall argue in 5.2.2.2, in a non-literary discourse such as news reporting.

Insofar as realistic fiction is concerned, the aesthetic function of linguistic form as such can usually be located at the level of narrating discourse in contradistinction to the level of fictional reality. This distinction, which comes from the French structuralists' distinction between *histoire* (the narrated story) and *discours* (the narrating discourse), lends perspective to the traditional distinction between 'what' and 'how' or 'content' and 'expression' (see Fowler, 1977; S. Chatman, 1978). While the narrating discourse (or narrative style) is the direct object of linguistic analysis, fictional 'facts' are essentially extralinguistic (with the exception of the 'verbal' reality composed of a character's speech, thought or mind-style), an area where linguistic models, leaving aside the analogous or quasi- models employed by structuralist critics, usually do not apply.

Such a distinction is not only helpful but also necessary in view of some rather extravagant claims made by linguists or stylisticians, such as the following:

as no science can go beyond mathematics, no criticism can go beyond its linguistics (Herald Whitehall, 1951:713)

Surely one may call all textual facts 'linguistic' in a loose sense. But the distinction between truly linguistic facts and, strictly speaking, extralinguistic facts usually holds, in relation to realistic fiction at any rate. If the purpose of a stylistician is to explicate how textual facts give rise to the total meaning of the work, the analyst must take account of both. The analysis of the latter, however, would depend, instead of on a linguistic knowledge of the workings



of (or effects in) language, primarily on common-sense based close observation of the relation between the fictional 'facts' involved and their aesthetic function (see the discussion in 2.2.2.).

The consideration of the objects of investigation of stylistics naturally leads us to a discussion in Chapter Three of the stylistician's characteristic mode of argumentation. The stylistician's typical progression in argument from one frame of reference, that of linguistic form, to another, that of literary significance, has been subjected to a series of criticisms. I have singled out and shall argue against two contrasting attacks: one made by Roger Pearce from the perspective of a linguist and the other by Stanley Fish from the viewpoint of a critic. While Pearce's charge is seen to be based on a misunderstanding about the purposes of literary stylistics and about the conventional nature of signification, the influential paper written by Fish 'What is stylistics and why are they saying such terrible things about it?' (1973) also displays a notable lack of understanding of the nature, function and validity of stylistics as an intermediary discipline. By analysing various charges made by Pearce and Fish and by exposing a number of intentionally or unintentionally misleading devices involved in their argument, I hope to help reveal the true nature of the typical mode of argumentation used by literary stylisticians, providing a reliable, though not necessarily comprehensive, picture of its theoretical foundation, its analytic procedure and its main characteristics. The picture may gain further clarity not only from a comparison made between this stylistic mode and two others (i. reading from linguistic form to personality and ii. a study of the relation between impressionistic terms like 'terse' or 'complex' and identifiable structural properties), but also from a discussion of the essential similarity and contrast between the present stylistic mode and Fish's own 'affective stylistics'.

In Chapter Four, which is largely complementary to Chapter Three, we shall

come to a consideration of the objectivity of the stylistician's primary frame of reference – the linguistic basis; an objectivity which, though taken for granted by stylisticians, is seriously challenged by Stanley Fish in 'What is stylistics and why are they saying such terrible things about it? Part II' (1980). I shall argue, as a major premise, that the distinction between 'objective' and 'subjective' as usually drawn does not apply to a phenomenon such as language and, further, that, in the social reality of language, objectivity is, in effect, a matter of conventionality: in more specific terms, what is conventional is objective and what is personal is subjective. Starting from this basic premise, an explication and evaluation will be taken up in terms of the different degrees of objectivity of the three correlated levels involved in the stylistician's characteristic mode of argumentation: structural feature, psychological value and literary significance. This is followed by a discussion of Fish's challenge to the objectivity of the stylistician's linguistic basis, a challenge which is wrongly based on a failure to discriminate between convention and interpretation. By way of the explication and the discussion as such, I hope to throw some further light on the nature, function and validity of the stylistician's characteristic mode of argument in particular and of stylistics as an intermediary discipline in general.

### 1.3. APPLYING STYLISTICS TO LITERARY TRANSLATION

Literary translation, particularly the translation of prose fiction, has benefited very little from recent developments in linguistics. 'In the typical linguistics-oriented study of translation', as Lefevere observes, 'some lip service is usually (almost ritualistically) paid to literary translation, but this serves more often than not as an excuse to skip the problems connected with the particular type of translation and to move on to what are considered the "real" issues' (1981:52). Indeed, just as a purely linguistic description of literary text does not



have much to offer to literary criticism, translation studies with only a linguistic concern have little or no bearing on problems characteristic of literary translation. I shall discuss in some detail, at the beginning of the second part, the inadequacy of linguistics-oriented general translation studies when applied to literary discourse. The remedy, though, may be readily sought in literary stylistics, which, not only informed by modern linguistics but also taking literary competence or sensitivity as a prerequisite, can provide interesting insights into the aesthetic functions of the verbal choices, particularly the subtle stylistic or rhetorical choices, made by the author and by the translator.

It is understood that literary translating is a complex process subjected to the influence of numerous variable factors, such as whether the translation should be source-language-oriented or target-language-oriented, or whether a given original should be adapted for certain pragmatic purposes. The dimension to which stylistics has the potential of making most contribution is chiefly formal or structural. By sharpening one's sensitivity towards the workings of the language system, by improving one's understanding of the function of stylistic norms, and by enhancing one's awareness of how literary conventions and the writer's creative acts combine to make linguistic form take on aesthetic significance, stylistics operates to help the literary translator to achieve functional equivalence or expressive identity. What is involved is of course not only the aesthetic function of linguistic features in the respective languages but also the stylistic correspondence, which is often not contemporary, between the two languages involved.

Now, the fact that I have chosen to concentrate on the translation of prose fiction – more specifically, of the traditional realistic kind – is not due to a belief that prose fiction should be placed at the centre of poetic discourse. Rather, it is to be accounted for by the fact that problems associated with the translation of realistic fiction as a literary genre have been most neglected and,

further, that many of those problems, which may be subsumed under the heading 'deceptive equivalence', can be quite effectively dealt with by stylistic analysis. As shall be discussed in 5.2.2., 'deceptive equivalence' is found in both of the two contrasting dimensions of narrative structure: the narrating discourse and the narrated story.

Generally speaking, in traditional realistic fiction, the writer's manipulation of linguistic form at the level of narrating discourse functions not as an end in itself but rather as means for various thematic effects, such as efficient characterization, or for making the fictional reality operate more effectively in the work's thematic unity. At this level, the occurrence of 'deceptive equivalence', which conveys approximately the same fictional 'facts' but fails to capture the aesthetic effects generated by stylistic or rhetorical devices in the original, is primarily ascribable to the fact that, in translating realistic fiction, the translator is inclined to establish equivalence at the level of 'paraphrasable material content' (Bassnett-McGuire, 1980:115), focusing on the represented fictional reality and overlooking the novelist's formal operations over and above the experience depicted. Such an inclination is attributable not only to the usually isomorphous relation between the fictional world and the real world (allied to the resultant suspension of disbelief) but also to the translator's lack of awareness of the novelist's verbal artistry which is much less obtrusive than that of the poet's. Responsible for the translator's stylistic non-discrimination is the backwardness of fictional translation studies which have on the whole remained impressionistic and which often go no further than 'referential equivalence' (it should be clear that 'deceptive equivalence' at the level of narrating discourse typically constitutes 'referential equivalence'). There is surely an urgent need to introduce stylistic analysis as a means of exposing 'deceptive equivalence' as such, and as a means of enhancing the translator's stylistic competence, one that is essential to achieving functional equivalence



in literary translation.

In realistic fiction, a large part of the aesthetic significance resides in the created fictional reality which is 'expressed through, rather than inherent in, language' (Leech & Short, 1981:2). At this level, 'deceptive equivalence' takes the shape of distortion of fictional 'facts' which is mistaken by the translator as some form of equivalence. What concern me here are not errors caused by inadequate linguistic competence (which is the concern of general translation studies) but distortions resulting from, among other things, translators' failure to take account of the structural or thematic functions of the fictional 'facts' involved. As a matter over and beyond linguistic competence, the cases here tend to pass off as reasonable correspondence to the original, whose distorting nature becomes detectable probably only in the light of the surrounding literary context, in terms of the function of the expressions in the larger thematic unity. This level has received relatively little attention in intra-lingual stylistic analysis; a fact which is not surprising since, as distinct from linguistic form where one can pinpoint a set of alternatives (like direct speech, indirect speech, free indirect speech etc.), in the case of fictional 'facts', it is difficult to determine the potential choices or alternatives (one needs to bear in mind that stylistics is always comparative in nature). Because of the translator's distortions which constitute actual alternatives to the original and which help highlight the aesthetic effects obtaining in the SL text, this level seems to present great stylistic interest in the analysis of fictional translation.

Of the three chapters – six to eight – of illustrative analysis in the second part, Chapter Six is concerned, to a great extent, with the level of fictional reality, forming a contrast to the following two chapters which focus on the aesthetic function of narrating discourse. These three chapters deal with lexical expression, syntax, and speech and thought presentation respectively. It is understood that, in terms of either encoding or effect, lexical choice is often

inseparable from other linguistic choices, particularly that of syntax; and that the boundaries between those choices are in themselves frequently problematic. Despite this, I choose to discuss them separately, for such a division helps to highlight some specific problems peculiar to each category. In discussing one category, if other linguistic features are seen to be relevant, they are also freely discussed.

Most of the data analysed in the second part are drawn from English translations of Chinese prose fiction, more specifically, translations of Cao Xueqin's Honglou Meng (written in the middle of the eighteenth century and regarded, by consensus, as the greatest Chinese novel), and of works by some well-known modern Chinese writers, such as Lao She, Lu Xun and Mao Dun.<sup>3</sup> Now, Chinese and English, which not only belong to different language families but also represent quite different cultures, differ greatly in terms of linguistic and literary conventions. We shall pay special attention to certain of the peculiar ways in which language generates aesthetic effects in Chinese and to the methods used by the translators to achieve expressive identity in English. But in order for the analysis to proceed from an immediately relevant point of departure, implicit allowances are sometimes made both for the basic linguistic differences between Chinese and English and, if the translation is not contemporary with the original, for the diachronic changes involved.

The data invariably take the shape of selected passages. Indeed, with more than one text (the original plus its translations) to deal with simultaneously, one may have to adopt some convenient mode of analysis. Although the effects are often locally identifiable, it is understood that the textual features concerned do not function in isolation, but interact with all the other related elements in an integrated pattern or in the work's thematic unity.

In the analysis, I am eclectic in approach, drawing primarily, but by no means exclusively, on Halliday's systemic grammar. With the definite practical



purpose of helping improve literary translation, linguistic models are treated only as subservient tools. As linguistic technicality is, generally speaking, kept to a minimum (in order to be adequate to the purpose), the analysis should be easily accessible to literary translators.

Unless otherwise indicated, translations of the same text are referred to as (A), (B), (C), with the sequence based on the alphabetic order of the surnames of the translators. The romanization used in this work is basically the *pinyin* system; but for the convenience of the reader, I adhere to the romanization used in the individual publications.

## part one

### literary stylistics as a discipline



## CHAPTER 2

### THE CONCERN OF STYLISTICS AS AN INTERMEDIARY DISCIPLINE

A literary text, as a construct of language, is a multi-level and multi-dimensional entity, to which different analytic models (each with its given assumptions and interests) may apply. Not surprisingly, the conceptions of and the approaches to literary style are marked by proliferation, diversity and one-sidedness (see Ohmann, 1964; Enkvist, 1964; Gray, 1969). The present chapter seeks to define the typical objects of investigation of stylistics as an intermediary discipline in relation to the concerns of some other approaches to literary style.

#### 2.1. SOME DIFFERENT CONCEPTIONS OF STYLE

The difference in the conception of style first has to do with the domain of style: genre or period style differs – not only in scope but also fundamentally – from the style of a particular author or text. I shall now touch briefly on genre or period style, then proceed to a discussion of two contrasting concepts of authorial or textual style.

##### 2.1.1. Style as Genre or Period Characteristics

The characteristics of the use of language found in a particular genre (or school) or period of literary writing have frequently attracted the attention of investigators of style. Significantly, genre or period style differs from authorial or textual style in the sense that, rather than a writer's personal choices,<sup>1</sup> it involves a set of given conventions or rules with which a writer operating in that particular genre or period complies or is expected to comply. If the style of a given author or text is determined primarily by contrast with the styles of other authors or texts found in the same genre (and/or period), the style of a

genre or period is on the other hand defined in relation to the styles of other genres or periods. Now, given that genre or period style is theoretically fairly uncontroversial (like the investigation of registers in non-literary language), there seems no need to go further.

### 2.1.2. Style as Habitual Traits of the Author

Many analysts, particularly author-detection stylisticians, have focused on the linguistic habits of the writer. Traditionally, the measurement of style as such rests on intuitive impression or statistics. Recently, some transformational grammarians such as Hayes and Ohmann have resorted to transformational analysis to make explicit the author's characteristic preferences of surface syntactic choice, one aspect of style which is taken by Ohmann as 'a central determinant' (1964:438).

As habitual traits in contrast with technique or rhetorical choice, this may be treated as the 'unconscious pole' of the writer's use of language (Milic, 1971). Not surprisingly, the critic in this vein is typically concerned with the association between style as such and the writer's personality rather than the literary significance of the text(s). Now, leaving aside the true intent of the widely cited aphorism of Buffon's 'The style is the man' (cf. Gray, 1969:39; Milic, 1971), if one claims that style reflects the personality of the author, one may mean by 'personality' either behavioural/mental characteristics or distinctive ways of perceiving and organizing experience or perhaps both (see note 2). In terms of the former, a notable critical attempt is made by Henri Morier who postulates a one-to-one correspondence between eight classes of style as such and eight kinds of temperament and mental make-up: weak, delicate, balanced, positive, strong, hybrid, subtle, and defective (see Ullmann, 1965:25-6; cf. Milic, 1971:77). But such associations can be, and often are, far-fetched in that 'some peculiarities of style need have no psychological background: they

may be mere mannerisms or tics' (Ullmann, 1965:24). Or it may even throw a false scent, that is, suggest some personality quite contrary to that of the author (see Ullmann, 1965:30-1)<sup>3</sup>.

When it comes to the correlation between the author's linguistic habits and his distinctive ways of perceiving and organizing experience, the picture seems to be less problematic. This kind of association has received much attention from Ohmann, who holds that:

each writer tends to exploit deep linguistic resources in characteristic ways – that his style, in other words, rests on syntactic options within sentences... – and that these syntactic preferences correlate with habits of meaning that tell us something about his mode of conceiving experience. (1966)

It seems worth noting that, while the reflection of the author's behavioural/mental characteristics is more or less confined to linguistic habits, the reflection of the author's cognitive process may be found both in the habitual and in the rhetorical, or thematically-motivated, choices (see note 4). But of course the habitual and the rhetorical/motivated differ in the sense that what the former reveals is, as Ohmann puts it, 'a habit of meaning...a persistent way of sorting out the phenomena of experience' (1967), whereas what the latter brings out is on the other hand the author's specific vision or viewpoint concerning particular fictional event(s) (Ohmann seems to regard such cases as 'temporary epistemologies'). Perhaps precisely because the habitual and the rhetorical/motivated can both correlate with the author's cognitive process, one finds here frequent overlap between the two kinds of choices. It has been observed that in some experimental writers like Donald Barthelme, there is a consistent use of highly simple language, a linguistic 'habit' that is however motivated by a desire 'to support, even establish, a particular point of view – that the world is meaningless, disjointed, and doomed by poverty of experience' (Traugott & Pratt, 1980:168-9). Similarly, Henry James's preference for



complexity and for placing causes after effects is in a sense motivated by his particular concern with psychological realism (see Leech & Short, 1981:102).

Now, in terms of literary/thematic interpretation, one needs to be aware that a 'distinctive frequency distribution is in itself no guarantee of stylistic relevance, as can be seen from authorship studies, where the diagnostic features are often, from a literary standpoint, very trivial ones' (Halliday, 1971:344). Nevertheless, some critics who focus on the author's habitual and recurrent linguistic choices may well take the author's linguistic habits and literary significance as necessary correlates. Ohmann (1964), for instance, after offering a description of Faulkner's syntactic traits based on a typically Faulknerian passage, declares:

The move from formal description of styles to critical and semantic interpretation should be the ultimate goal of stylistics, but in this article I am concerned only with the first step: description.

However, once literary interpretation is actually brought in, attention tends to shift from the author's linguistic habits to rhetorical or thematically-motivated choices. This seems to be the case even when it comes to writers like Conrad, Hemingway or James whose habitual traits are closely tied up with the subject matter. To take Ohmann's own analysis for example: in his evaluatively-oriented analysis (1966) of the final sentence of Conrad's 'The Secret Sharer', much attention is directed towards the particular syntactic organization (e.g. rhetorical movement) of **that** sentence, which is very much motivated by the immediate thesis of that sentence and the underlying theme of the story. In effect, only by treating the syntax as so motivated (rather than habitually preferred) can one make full sense of Ohmann's observations such as 'The syntax of the last sentence schematizes the relationships [the narrator] has achieved, in identifying with Leggatt's heroic defection, and in fixing on a

point of reference – the hat – that connects him to the darker powers of nature’ (ibid). It is true that the syntax concerned exemplifies some of Conrad’s habitual traits such as the use of ‘chaining’ in syntactic expansion. But the stylistic significance comes largely from syntactic devices that are motivated in that particular context and that are more subtle than, say, a mere chaining effect. The sentence in question points to the fact that a linguistic form, while being on a general level representative of its author’s habitual choice, may contain a subtle internal organization motivated in its given context, the analysis of which, as distinct from that of the habitual, cannot be divorced from the immediate thesis and/or the underlying theme. And this brings us to a different conception of style.

### 2.1.3. Style as Artistically or Thematically Motivated Choices

Investigators of style, if concerned with literary interpretation or evaluation, tend to focus on artistically or thematically motivated choices. Such a concentration is unequivocally displayed in Halliday’s definition of foregrounding:

Foregrounding, as I understand it, is **prominence that is motivated**. It is not difficult to find patterns of prominence in a poem or prose text, regularities in the sounds or words or structures that stand out in some way, or may be brought out by careful reading; and one may often be led in this way towards a new insight, through finding that such prominence contributes to the writer’s total meaning. **But unless it does, it will seem to lack motivation**; a feature that is brought into prominence will be ‘foregrounded’ **only** if it relates to the meaning of the text as a whole. (1971:339; my boldface)

A similar exclusion is found in the French structuralist Todorov’s statement:

Every utterance will ... have a multitude of stylistic characteristics. But only a part of them will normally be ‘actualized’. In other words, the structural description of a particular text **will not consider a property stylistic** if it cannot show that this property is found in relationship with others, at

other levels, or, to put it in other terms, that it is meaningful.  
(1971:36)

Stylisticians in this vein are interested in that part of a writer's style which displays conscious or quasi-conscious artistry or craftsmanship (cf. Milic, 1971; Mukařovský, 1964:19); a part that contains various kinds of stylistic or rhetorical devices functioning as semantic reinforcement or modification, including 'technique' both in Ohmann's narrow sense (1964:425) and in a broader sense as used by Schorer who regards 'the resources of language' as 'a part of the technique of fiction':

language as used to create a certain texture and tone which in themselves state and define themes and meanings; or language, the counters of our ordinary speech, as forced, through conscious manipulation, into all those larger meanings which our ordinary speech almost never intends. (1967:66-7)

Stylisticians operating along these lines do take the author's linguistic habits as part of the author's style but they establish a clear criterion of relevance, namely, semantic/thematic or artistic function, dismissing thematically or artistically irrelevant linguistic choices as being trivial.

This position is arrived at via different paths. A most common route that leads to such a position is a concern with the subject matter, with the object and purpose of artistic creation or literary communication, treating style as expressive or affective elements operating to heighten the aesthetic effect. Such a concentration by stylisticians on the aesthetic purpose, function and value associated with the use of language in literature may find an interesting expression in Cluysenaar's observation that 'Stylistic exploration can be the equivalent, for literature, of the painter's or sculptor's workshop' (1976:9). In a monologic literary text, the subject matter is of course essentially the thematic unity of the work. Style is thus identified with various linguistic features, devices and patterns which function to produce thematically related effects;



and language is naturally examined in the context of literary interpretation.

Now, because of the limitation of space, I shall not go into other different, though possibly overlapping, conceptions of style, such as style as deviation from a norm (see Enkvist, 1964:23ff.; Todorov, 1971:30; Mukařovský, 1964; Leech & Short, 1981:43ff.) or style as textual characteristics: a concept of style as shown in Halliday's earlier descriptively-oriented analyses of literary texts. With the distinction drawn above between habitual traits and motivated choice, we now come to a consideration of some specific objects of investigation of stylistics as an intermediary discipline.

## 2.2. OBJECTS OF INVESTIGATION OF LITERARY STYLISTICS

The concern of stylistics as a discipline mediating between linguistics and literary criticism can be simply and broadly defined as thematically and artistically motivated verbal choices. This title, however, involves different layers or dimensions of the text. Which dimension or dimensions are brought under focus in one particular analysis depends on factors such as the linguistic model(s) used, the stylistic properties of the text (e.g. in which aspect(s) foregrounding or defamiliarization occurs) or the analyst's own interest. Attention will be directed here to two contrastive dimensions of the text: i) linguistic form and ii) fictional 'facts'. The former constitutes the most prominent and characteristic object of investigation of literary stylistics; and the latter has been singled out mainly because of its relevance to the analysis in the second part.

### 2.2.1. Linguistic Form

Linguistic form as a title covers many specific categories such as surface syntactic choice, lexical choice (e.g. from different registers), figurative expression, metre, alliteration, or modes of speech presentation (e.g. direct vs.

indirect speech). The aesthetic significance of linguistic form varies a great deal in literature – not only from poetry (which works by ‘elegant concentration’) to the novel (which works by ‘exhaustive presentation’<sup>5</sup>), but also within the genre of prose fiction. Anthony Burgess observes:

Novelists, like poets, work in the medium of human language, but some may be said to work in it more than others. There is a kind of novelist (conveniently designed Class 1), usually popular, sometimes wealthy, in whose work language is a zero quantity, transparent, unseductive, the overtones of connotation and ambiguity totally damped... Such work is closer to film than to poetry, and it invariably films better than it reads... To the other kind of novelist (Class 2) it is important that the opacity of language be exploited, so that ambiguities, puns and centrifugal connotations are to be enjoyed rather than regretted, and whose books, made out of words as much as characters and incidents, lose a great deal when adapted to a visual medium. ... Needless to say, there are stylistic areas where the two classes of fiction overlap. ... (1979:15)

What interests me here is not so much the distinction itself as the point that different types of prose fiction present different degrees of aesthetic significance of linguistic form. Modern experimental novels of Woolf, James, Joyce and their like, which figure at the very heart of opaque writing and which have a close affinity with modern poetry, are a type where ‘form is accorded maximum importance’ (Lodge, 1977:44) and where aesthetic significance is inseparable from the novelist’s exploitation of the possibilities of language. Indeed, that ‘[Joyce’s] language demands our central attention as critics, is a proposition that no one is likely to challenge’ (Lodge, 1966:30).

But a quite different picture emerges from traditional realistic fiction where language is much more referential or informative and where aesthetic effects tend to reside more in the created fictional reality which is expressed through, rather than inherent in, language. If, in modern poetry or experimental fiction, foregrounding may be taken as forming the primary coherence, in the present type of novel, primary coherence is normally constituted by the represented



fictional reality. Here one can usually postulate a distinction between the narrating discourse and the narrated story, locating aesthetic function of linguistic form at the level of narrating discourse. This point is reflected in the following comment by Wayne Booth:

'Style' is sometimes broadly used to cover whatever it is that gives us a sense, from word to word and line to line, that the author sees more deeply and judges more profoundly than his presented characters. But, though style is one of our main sources of insight into the author's norms, in carrying such strong overtones of the merely verbal the word *style* excludes our sense of the author's skill in his choice of character and episode and scene and idea. 'Tone' is similarly used to refer to the implicit evaluation which the author manages to convey behind his explicit presentation, but it almost inevitably suggests again something limited to the merely verbal; some aspects of the implied author may be inferred through tonal variations, but his major qualities will depend also on the hard facts of action and character in the tale that is told. (1961:74)

Fictional reality does not, of course, exist apart from the sequence of words symbolizing it, yet it constitutes 'a more abstract level of existence, which in principle is partly independent of the language through which it is represented, and may be realized, for example, through the visual medium of film' (Leech & Short, 1981:37). Essentially, one infers fictional 'facts' in the same way as one infers facts from news reports or historical documents (see Fowler, 1981:169). In reading a realistic fiction, then, the reader tries to identify the experience which the novelist is representing and then evaluates the writer's formal operations made on it as regards, say, whether the author is manipulating linguistic form to imitate or 'shape' the experience involved (see 7.5.).

Such a distinction between fictional reality and narrating discourse or narrative style is often found problematic in poetry. To look at a short poem by Roethke:

#### CHILD ON TOP OF A GREENHOUSE

The wind billowing out the seat of my britches,

My feet crackling splinters of glass and dried putty,  
 The half-grown chrysanthemums staring up like accusers,  
 Up through the streaked glass, flashing with sunlight,  
 A few white clouds all rushing eastward,  
 A line of elms plunging and tossing like horses,  
 And everyone, everyone pointing up and shouting.

Like many others, this poem is marked by absence of temporal references and, as Widdowson observes (see 1975:54-7), the nominal groups which constitute this poem are characterized by the progressive aspect without tense – ‘billowing’, ‘crackling’, ‘staring’, ‘flashing’, ‘rushing’, ‘plunging’, ‘tossing’, ‘pointing’ and ‘shouting’:

The effect of isolating aspect here is to make a statement about a sensation of ongoing movement which has no attachment to time. The boy is perched on top of a greenhouse, physically aloof from the world below and at the same time removed from the reality which it represents, detached from real time and aware only of a kind of timeless movement. (p.57)

The point is that the subjective impression as such which the poem records constitutes the very reality conveyed by the poem. Here, the reader is unlikely to draw a line between the fictional ‘facts’ which are necessarily transient and the narrating discourse; but rather, he would tend to take the fictional reality as one of ongoing movement with no attachment to time. Generally speaking, what matters in poetry is, as indicated here, the poet’s personal vision or, in other words, a reality as perceived by the poet, whereas what counts in realistic fiction are both ‘the hard facts of action and character’ and the author’s vision of, or attitude towards, those facts. This distinction is of course not absolute, since in both cases fictional reality is derived from the conventional model of reality; and since in both cases reality is dissociated from an immediate social context, not being truth-conditional. Yet the difference remains. It is quite inconceivable that a novelist would put down ‘I am the enemy you killed, my friend ...’ as Owen does in poetry. And if the lines

quoted above were to appear as a description in a novel (where, however, the writer would have to provide more context of particularity), the reader would surely try to identify the fictional 'facts' in contradistinction to the I-narrator's subjective impression.

In effect, I see in this difference one of the fundamental reasons which account for the fact that monism is happier with poetry and dualism with the novel (see note 6). Given that linguistic form is typically used both in poetry and in the novel to convey the author's vision, in poetry, where the poet's personal vision of the reality tends to be or become the reality, the values generated by linguistic form – particularly in the case of figure of speech – tend to be inseparable from the reality conveyed. In the novel, however, the values generated by linguistic form, if operating at the level of narrating discourse, are normally distinguishable from fictional reality (see note 7). In the context of the novel, we can usually assume:

The fiction remains the invariant element: the element which, from the point of view of stylistic variation, must be taken for granted. But of course it is only invariant in a special sense: the author is free to order his universe as he wants, but for the purposes of stylistic variation we are only interested in those choices of language which do not involve changes in the fictional universe. (Leech & Short, 1981:37; cf. the discussion of fictional reality in 2.2.2.)

Although such a distinction between fictional reality and narrating discourse or narrative style is often found untenable in poetry, in terms of some kinds of linguistic form like poetic rhythm, alliteration, register, or certain surface syntactic choices, it is still plausible to draw a distinction between the values generated by linguistic form and 'cognitive meaning' or 'propositional content' (see chapters 3 & 4). If 'stylistic value' is used to refer to the value attached to linguistic form and 'content' used to stand for cognitive meaning or fictional reality, the total significance of a given sentence or text may be formalized



with the following equation:

$$\text{CONTENT} + \text{STYLISTIC VALUE} = (\text{total}) \text{ SIGNIFICANCE}$$

The plus sign, though, is potentially misleading since stylistic values function not only as semantic reinforcement but also as semantic modification (see 7.5.2. Shaping the fictional reality; also Widdowson, 1975:39ff.). In the latter case, (total) significance typically comes from the paradoxical tension or interaction between content and stylistic value, in a form such as:

$$\text{CONTENT} \leftrightarrow \text{STYLISTIC VALUE} = (\text{total}) \text{ SIGNIFICANCE}$$

In fact, we may need some other formulations to formalize the relation between content and stylistic value as such. The two formulations above do not, for instance, apply to the first case analysed in Chapter Six, a case where Jane Austen manipulates linguistic form to create multiple ironic oppositions or contrasts between narrative style and fictional reality, with the narrative style embodying the author's viewpoint and strengthening the comic effect. Yet, in this case, the narrative style, instead of positively superimposing a meaning on fictional reality, is only to be rejected as being deceptive by the reader in his reconstruction of the experience conveyed.

Now, if the referent of 'content' is fairly clear, what 'stylistic value' stands for may be rather vague. As the object of investigation of literary stylistics, it refers to thematic and aesthetic values generated by linguistic form, values which convey the author's vision, tone and attitude; which embody the mingling or shifting of points of view (e.g. through changes in register); which add to the affective or emotive force of the message; which contribute to characterization and make fictional reality function more effectively in the thematic unity. Although the effects can be locally identifiable, it is understood that linguistic features, at least insofar as the monologic text is concerned,

never function in isolation but in relation to each other, all contributing to the total meaning of the work. In fact, the individual choices of words, syntax etc., which are selected from their paradigmatically-related alternatives in the linguistic system, are very often combined by the verbal artist into foregrounded or unique patterns which generate extra values or meanings by virtue of similarity (e.g. parallelism) or contrast (e.g. that between direct and indirect speech). In literary discourse, stylistic values may simply reside in appropriate choices from the conventional norm or take the shape of violation of conventional usages or rules, to the extent of changing the code itself. In either case, the aesthetic values are seen to embody the possibilities or advantages of the linguistic medium in contrast with other media such as film, painting or photographing.

Before turning to the level of fictional reality, it seems worthwhile to mention a prominent object of stylistic investigation of modern English fiction, namely, character's mind-style (see Fowler, 1977) which, if occurring at the level of primary narration in a third-person novel, presents an area where the distinction between narrating discourse and fictional reality is, I think, untenable. Conventionally or traditionally, the primary narration in a third-person novel conveys the view of the implied author in contradistinction to the views of fictional characters, hence the distinction between (the author's) narrating discourse or narrative style and fictional reality (including characters' cognition or consciousness).<sup>8</sup> In some modern English novels, however, primary narration is used, for shorter or longer stretches of the text, to dramatize the viewpoint of a character (or some characters), to the extent of totally suppressing the narrative style of the implied author. A most telling case is the well-known 'Lok's language' found in primary narration in William Golding's The Inheritors, a language which embodies the primitive world-view of the prehistoric character Lok in stark contrast with that of the modern

author (see Halliday, 1971).

I see in such cases an effort to defamiliarize or to deautomatize the narrating discourse. As primary narration in a third-person novel conventionally contains the reliable representation by the author, the occurrence at this level of a character's idiosyncratic or uncanonical view surprises the reader into a fresh awareness of this narrative dimension which intervenes between what is represented and the reader. Further, by virtue of the fact that a third-person character's cognition or conceptualization is directly revealed at this primary narrative level, the character's mind-style as such generates a striking effect of immediacy, vividness and authenticity (much of the effect would be lost if the narration were to appear, where applicable, in first-person).

Now, the point to note is that here the 'narrating discourse', being composed of the cognition or conceptualization of a character as distinct from that of the author, forms part of fictional reality. It is true that the 'narrating discourse' here shares with authorial narration the quality of being distinguishable from the fictional events it represents: we infer, for instance, from Lok's 'The stick began to grow shorter at both ends. Then it shot out to full length again' the fictional event that 'The man drew the bow and released it', with Lok's conceptualization standing in ironic contrast with the represented event. Yet both the character's perception and the perceived event form part of fictional reality. Nevertheless, while the perceived event is not linguistic by its nature (see below), a character's conceptualization, being one possible expression (of the same event), is in itself verbal, with its aesthetic significance residing in the author's choices of linguistic form: in his choosing, for instance, 'The stick began to grow shorter at both ends' instead of 'The man drew his bow' (see note 9). Not surprisingly, different conceptualizations of the same event are taken by Leech and Short as a form of stylistic variation (1981:36).



Following the same line of thought, one may even go so far as to treat different types of characters' speech or thought (e.g. formal vs. informal) as stylistic variation (see the last paragraph in 5.2.2.1).

### 2.2.2. Fictional 'Facts'

Except for that aspect of fictional reality which is in itself verbal (e.g. character's speech, thought or mind-style), fictional 'facts' are 'extralinguistic ... which are essentially independent of language, even though for their communication we must and do require the medium of language' (Hasan, 1971:303). As far as the 'non-verbal' facts are concerned, aesthetic effects do not, generally speaking, reside in the author's manipulation of language. In a stylistic analysis of a passage from Joseph Conrad's The Secret Agent, Chris Kennedy observes that:

the second group of verbs of perception are interesting in that the phenomena emphasise Verloc's role as a passive observer of an act he can do nothing to prevent. Mrs Verloc's actions and her husband's perception of them are described only indirectly (Mr Verloc never sees his wife, but makes connections between certain sounds and sights and her physical presence). He hears a plank creak and infers that she is coming towards him. He does not see the knife, the hand and the arm, but sees a shadow which he recognises as a limb and a weapon which he further identifies as an arm and a knife. (1982:88)

Apparently, the stylistician is not talking here about the effects generated by the author's linguistic choices but by the author's creation of fictional 'facts'. Indeed, insofar as those extralinguistic facts are concerned, linguistic models are usually quite irrelevant (perhaps with the exception of Halliday's functional one, whose ideational aspect, though, has been serviceable to stylisticians typically in describing mind-styles or viewpoints). The difference between the following two translations cannot, like the contrast between the actual and hypothetical 'facts' in the quotation above, be accounted for by linguistic terms:

(A) ... But Old Tung Pao didn't dare let himself think of such a possibility. To entertain a thought like that, even in the most secret recesses of the mind, would only be inviting bad luck!

(B) The more he thought the more he became afraid, afraid that the thoughts might come true. (see the analysis in 6.1.3.)

Literary stylisticians differ radically in their concern with those extralinguistic facts. Many stylisticians firmly exclude them from their investigation. Ruqaiya Hasan, for instance, declares that 'not any other element but *only* the linguistic element of literature concerns stylistics' (1971:299–300). This exclusion is surely understandable. But some stylisticians do take exception. Traugott and Pratt, for example, state that:

Stylistic choice is usually regarded as a matter of form or expression, that is, as choice among different ways of expressing an invariant or predetermined content. But this view is misleading, for writers obviously choose content too. In our grammar, with its semantic and pragmatic components, both content and expression can be viewed as matters of choice. (1980:29)

While agreeing that both content and expression are matters of choice, I do not think the confinement of stylistic choice to form or expression is misleading. In the light of the preceding discussion, it should be clear that, given the distinction between content and expression, only the latter embodies the writer's style in the sense of his way of using language. However, the confinement as such does lead to difficulties. As aesthetic effect pertaining to language *per se* is just one aspect of the total significance of the text (though it can be a most essential aspect), limiting one's attention to this single aspect deprives one of the opportunity to explicate the overall impact of the work (I think here lies a root cause of the subservient role of stylistics – see Fowler, 1971:39–40). If one has the intention, as many stylisticians do, of showing how textual facts give rise to the total meaning, one has to take account of both expression and content. Obvious as the point may seem to be, it is not to be



taken for granted. Cluysenaar, for instance, finds it necessary to assert:

Each text, whether a whole work or a passage, is treated here as an act of communication to which all features of language, **including meaning**, contribute. (1976:15; my boldface)

Quite similarly, David Lodge sees a need to stress that the novelist's selection and ordering of fictional 'surrogates' for actual experience 'must have an aesthetic motive and an aesthetic effect' (1966:46), or put another way, that the author's 'denotative use of words is of aesthetic significance' (p.61).

Interestingly, while stylisticians or critics concerned with language have to make clear why they should pay attention to 'content' or 'denotative use of words' at all, fictional reality has long been the concern, or, with reference to realistic novel, a central concern of traditional critics. The latter, of course, characteristically operate at a high level of abstraction, depending heavily on subjective impression and providing remarkably little textual substantiation. The stylistician's analysis of this textual dimension is, by contrast, marked by close attention to the relevant fictional 'facts' (most importantly to their relation with the surrounding textual features), concretely pointing out, say, what symbolic meaning a given object is seen to take on or what function a particular act serves in characterization. Naturally, in stylistic investigation, those 'facts' are often, if not always, analysed in relation to the writer's artistic manipulation of linguistic form, both of which, or the interaction of which, contribute(s) to the total aesthetic significance of the work.

To avoid diversion, I shall not go into other more peripheral concerns of stylistics, such as textual surface or deep structure (see Fowler 1977). In the following two chapters, I shall focus sharply on the aesthetic function of linguistic form, that is, focus on the characteristic object of investigation of stylistics.

## CHAPTER 3

### LINGUISTIC FORM AND LITERARY SIGNIFICANCE

#### **- in defence of literary stylistics in terms of its characteristic mode of argumentation**

In the preceding chapter, a distinction was drawn between linguistic habits and aesthetically-motivated choices. And, as already observed, it is the motivated choice that concerns stylistics as an intermediary discipline. This discipline, which typically studies the relation between linguistic form and literary significance, has on the one hand a large number of practitioners and on the other no lack of attackers. The presence of the latter is, to a large extent, attributable to the fact that the theoretical foundation and the characteristics of this discipline have not yet been fully spelt out.

My major concern in this chapter is to make explicit – by way of defence – the theoretical foundation, the analytic procedure and the main characteristics of stylistics as such. My basic claim is that, being intermediary, the existence of stylistics is justifiable both in terms of a pragmatic need (primarily to account for phenomena marked by a progression from linguistic form to literary significance) and in terms of theoretical legitimacy (i.e. backed up by a set of underlying conventions). In this chapter, however, attention will be directed only to the matter of theoretical legitimacy, while the pragmatic need in question will be frequently touched on and extensively exemplified in other parts of the present study.

As regards theoretical legitimacy, we shall first consider the charge from Roger Pearce (1977) who, commenting on existing work in stylistics, says:

there appear to be only two conceivable disciplines or modes of argument. One of these, producing the characteristic statements of literary significance or interpretation allegedly based on linguistic fact is, in essentials, **without theoretical foundation**; the mimetic fallacy is the most common way in which this deficiency is obscured. We are left with the **purely grammatical statements**,

which, I have argued, are more open to objective discussion and investigation. (p. 28; my boldface)

Our present concern is of course limited to the former kind of statement which relates linguistic form to literary significance and which constitutes, in Pearce's words, the 'characteristic or typical mode of assertion in linguistic stylistics as opposed to linguistics or criticism' (p. 20).

The target that bears the brunt of Pearce's criticism is an analysis made by Cluysenaar who, commenting on the syntax of a short poem translated from the Chinese by Arthur Wally:

Swiftly the years, beyond recall.  
Solemn the stillness of this spring morning.

says,

what we have is a skilful use of syntax to mime the meaning. Line 1 is 'incomplete' in a sense not applicable to line 2. The adverb *swiftly* leads us to expect a verb, a verb which could still appear after *beyond recall* (read aloud, the intonation should preserve that possibility). The second line therefore breaks in upon line 1, as if line 1 were short of time, and in its completeness it represents time stilled instead of snatched away....

Pearce admits,

It is clear that in some sense there is a parallel: we know from experience in the world that if we are short of time we may have to leave tasks uncompleted. If we have time snatched away, are interrupted, we may break off what we are doing in the middle of it. We can see, then, the possibility that the experience of this relationship in the world, between lack of time and incompleteness, may lead to an association producing the psychological sensation of being short of time when something appears incomplete (or, of course the other way round)<sup>1</sup> (p.21)

Nevertheless, according to Pearce,

It is clear that **there can be no progression** in argument from one frame of reference, that of the linguistic facts of the poem, to the



other, that of a literary interpretation. The link between the two is undemonstrable; we could as justifiably claim that an incomplete line represented eagerness to rush on to what was next, excitement and energy, or, equally, somnolence, boredom and dropping to sleep.... The mistake...is to construct or **accept two frames of reference** in the first place.

...in the absence of some testable theory to establish a strong link independently attested the claim is merely a **juxtaposition of two facts**; it has **just as much validity** as those statistical jokes which attribute the rise in deaths due to cancer to the rise in the number of multi-storey buildings or the like, since there is a perfect correlation between the two. (pp. 21-2; my boldface)

It should first be made clear that my intention is not to defend any individual stylistician. I am in fact well aware that some existing stylistic analyses are inadequate in terms of either linguistic description or interpretation, or both. But, as indicated above, the burden of Pearce's charge is, in essence, not the inadequacy of the individual analyses but the illegitimacy of the progression in argument from one frame of reference, that of linguistic form, to the other, that of literary interpretation. In fact, a firm belief in this illegitimacy has led Pearce to suggest, as a primary task, the disposal of 'a distinct third discipline of stylistics between linguistics and criticism' (p. 27). In what follows, I shall start by analysing Pearce's analogy, an analysis that may serve to bring out the extent to which the progression in question is misunderstood, then proceed to a discussion of the theoretical foundation of the stylisticians' typical mode of argumentation. Finally, we shall consider the matter of the acceptance of two frames of reference.

Now, it is in my view fallacious to invalidate the 'parallel' between linguistic form and literary interpretation with the 'parallel' between the rise in deaths due to cancer and the rise in multi-storey buildings. The two 'parallels' in effect do not belong to the same paradigm: the latter concerns two objective phenomena (and in this sense, they belong to the **same frame of reference**), the former concerns, by contrast, an objective phenomenon and a subjective response. In the case where what is involved are two objective facts, intuition



or psychological sensation has, as a third party, no role to play: it goes nowhere to claim 'We all feel that the rise in deaths due to cancer is caused by the rise in the number of multi-storey buildings'. The causal relation between the two objective facts can only be established on scientific grounds. Nevertheless, in the case of the 'parallel' between linguistic form and interpretation, intuition constitutes one of the two directly involved factors. Thus it makes perfect sense to claim, 'In the context of the poem, the incompleteness of predication in line 1 makes us feel as if line 1 were short of time'. Clearly the fact and the response are causally related so long as the speaker and his informants are not lying. Here the potentiality of the objective fact to arouse the subjective response cannot be tested by scientific means but may however be proved, at least hypothetically, on statistical grounds. As a matter of fact, statistics forms a means commonly used to investigate the potentiality of an objective phenomenon in terms of arousing a certain subjective response in a human being of a given community. If, say, 95% of the beings concerned have the given response, the causal relation between the fact and the response can be established on the scale of the community. But obviously even if 100% of human beings all **feel** that the rise in deaths due to cancer is caused by the rise in multi-storey buildings, the causal relation cannot (given, of course, the existing power of human intuition) be established.

However, as distinct from such a case as, say, the sight of a tiger causing a sense of horror, the subjective impression prompted by a linguistic form/pattern is not a matter of simply instinctive response. Like many subjective responses that are **conditioned** by convention, underlying the stylistician's response there exist certain literary conventions that constitute, I think, the theoretical foundation of the stylistician's argumentation (a foundation that I shall come to shortly).

So far as Pearce is concerned, he does not seem to be aware of the

existence of the underlying conventions which 'guide the interpretive process and impose severe limitations on the set of acceptable or plausible readings' (Culler, 1975:127). As quoted above, in the case concerned, Pearce has got a set of contradictory interpretations, each of which is to him equally justifiable:

we could as justifiably claim that an incomplete line represented eagerness to rush on to what was next, excitement and energy, or equally, somnolence, boredom and dropping to sleep

I very much doubt that Pearce really finds all the alternatives equally plausible – in the context of the poem. And I hope that he is not suggesting that the mind is a *tabula rasa* in approaching a literary text. If he is, I would like to refer to the chapter 'literary competence' in Culler Structuralist Poetics (1975) where Culler argues at length about literature as an institution, about (the implied) readers as readers equipped with literary competence (that is, a set of conventions for reading literary texts), and the reading activity as a rule-governed process of producing meanings. Thus Culler:

To read a text as literature is not to...approach it without preconceptions; one must bring to it an implicit understanding of the operations of literary discourse which tells one what to look for. (pp. 113–4)

And regarding the critic in particular:

He must show his readers that the effects he notices fall within the compass of an implicit logic which they are presumed to accept. (p.125)

In the present case, the principle convention expected to be at work is clearly the convention of thematic unity of form and content, or put another way, the implicit logic of form reinforcing meaning or contributing to the theme. This implicit logic or convention is well followed by Cluysenaar and seems to be taken for granted by Pearce himself; both points can be inferred from Pearce's



criticism:

Here, because line 1 is incomplete, and because part of an interpretation of the poem involves the comparison of time stilled and time snatched away, the parallel is asserted.... it is clear that it is only the details of the interpretation of the poem that have led to the imposition of this significance on a syntactically incomplete line. (p. 20)

In my view, the thematic unity of form and content is an essential convention or implicit logic by which Pearce's alternative interpretations can be tested.

On a more basic level, given that, say, 'being short of time' is in itself an interpretation derived from the incompleteness of the syntax, some other conventions are involved, to wit, i) the rule of significance, i.e. it is **possible** for linguistic form to take on literary significance, and ii) there is some analogy or 'parallel' that serves to correlate the linguistic form with the response elicited. The 'parallel' in Cluysenaar's claim is, as quoted above, conceded and well spelt out by Pearce.

In my view, the set of conventions – a) the rule of significance, b) there being some analogy or 'parallel' (see the detailed discussion about the nature of the 'parallel' in the following chapter) and, c) thematic unity of form and content – together (probably among others) constitute the basic theoretical foundation both of the stylistician's claim and of the reader's acceptance of such a claim. Without convention a), the stylistician would not look for significance in linguistic form and the reader would be in no position to accept any claim that a certain linguistic form/pattern gives rise to a certain sensation or mood or the like. That is to say, a syntactically incomplete line would in any context have no more significance than that it was a syntactically incomplete line. Surely, but for this convention, Pearce would not have offered alternatives to Cluysenaar's interpretation. Indeed, without this convention, a writer would not, in the first place, manipulate linguistic form in order to achieve certain



effects.

Without convention b), Pearce would not have considered a 'parallel' in Cluysenaar's claim necessary, let alone taken the trouble to spell it out. And with the b) convention, if one claimed that the incompleteness of the syntax represented fulfilment or happiness, the claim would, I believe, be found unacceptable by competent readers, even though a reader's own **personal** experience might well lead to such associations. The point to notice is that 'To be an experienced reader of literature is, after all, to have gained a sense of what can be done with literary works and thus to have assimilated a system which is largely **interpersonal**' (Culler, 1975:128; my boldface).

As regards the convention of thematic unity of form and content, I take it to be a fundamental principle that directs the interpretative process and imposes severe limitations on the set of acceptable or plausible readings (there does, of course, exist a certain degree of indeterminacy since literary meanings are often ambiguous and are typically encoded in an unconventional way). By virtue of this convention, the stylistician always takes into account the features which surround the linguistic form/pattern concerned in context. This means that the literary significance with which the linguistic form/pattern is associated is context-bound, a point which is reflected in Pearce's comment:

There are, though, in all of these claims, the possibilities of empirical significance. It may be possible to set the constraints in such a way that the claims become: *in this context* such and such an effect is produced. (p. 22; Pearce's emphasis)

Even if the mind is not aware of it, these conventions (probably among others) are at work in the stylistician's interpretative process. They constitute the theoretical foundation of the stylistician's mode of argumentation and form the criteria by which the plausibility of a claim that a certain linguistic form/pattern generates a certain literary meaning can be tested. (However, I am

aware that the problem of determining the literary or thematic pertinence of linguistic patterns cannot be wholly solved by appealing to literary conventions, but the underlying conventions do seem to have a vital role to play.)

Now, despite the considerable lengths gone to above to show that the stylistician's claim is not a juxtaposition of two facts (the linguistic fact and the interpretation are causally related) and is not 'without theoretical foundation' (so long as one does not deny the existence of the underlying conventions), the argument will get nowhere if we do not falsify Pearce's basic premise:

the only feasible interpretation of such a claim is, anyway, one which reverts to reliance on intuitive acceptance of psychological rather than linguistic phenomena. It is clear that there can be no progression in argument from one frame of reference, that of the linguistic facts of the poem, to the other, that of a literary interpretation. The link between the two is undemonstrable (p.21)

Given this premise, even if a stylistician's claim were accepted by all competent readers who presumably share a set of underlying conventions, the claim could still be regarded as a fallacy in that its very acceptance of two frames of reference would, 'in the first place', be a 'mistake'.

What I see in this premise (plus relevant contextual information) is inconsistency in Pearce's position concerning i) himself and stylisticians and ii) stylistics and traditional criticism. Pearce on the one hand criticizes stylisticians in terms of accepting two frames of reference, but he on the other hand concerns himself with the **interpretation** of literary **texts**, which necessarily involves an acceptance of two frames of reference. Furthermore, while Pearce proposes (primarily because of the stylistician's acceptance of two frames of reference) 'to dispose of a distinct third discipline of stylistics between linguistics and criticism', he subscribes to criticism as well as linguistics (pp. 27-8).<sup>2</sup> Pearce does not seem to be aware that criticism of literary texts also entails an acceptance of two frames of reference unless the



critic were purely imagining, i.e. imaginings not elicited by the signs in the text. As far as I can see, in terms of accepting two frames of reference, criticism differs from stylistics only in the sense that in the case of criticism, one frame – that of the textual fact – is not specifically spelt out let alone linguistically analysed. Thus, while a stylistician may put down a detailed description of certain linguistic patterns in the text (and the interpretation **elicited**), a critic may put down no more than, say, 'this novel' or 'Wordsworth's "Tintern Abbey"' (and the interpretation **elicited**). Indeed, if the critic's interpretation forms, say, a thematic synthesis of the text as a whole, the only thing that the critic can do to concretize the textual frame is to put down, instead of 'this novel' or 'Wordsworth's "Tintern Abbey"', all the signs in the text.

It will have become clear that to rule out the acceptance of two frames of reference (linguistic or textual facts and subjective responses elicited) is in effect to rule out literary interpretation in general. And if one does accept literary interpretation, one has to accept two frames of reference, an acceptance that is, in my view, neither a mistake nor a fallacy. Now having reached this conclusion, the conclusion of my overall argument will be clear, in short, Pearce's criticism of the mode of argumentation characteristic of stylistics is a criticism that is unjustifiable and fallacious.<sup>3</sup>

Pearce's criticism is however far from being original. After his own attack on 'numerous examples' from stylisticians 'of equations between linguistic forms and literary meanings' (Carter, 1982: 16, fn4), Pearce says:

Fish (1973), in a comprehensive and polemical attack on stylistics, its procedures and principles, makes many of the points embodied here.

Despite the common ground between Fish and Pearce, their respective criticisms are made from two distinct perspectives: Pearce's from the point of



view of a linguist, Fish's from that of a critic. To gain a fuller picture, we now turn to a consideration of Fish's charges.

Basically, Fish's charges fall under the following headings: (1) circularity, (2) arbitrariness, (3) decontextualization and (4) failing to take into account the reader's reading activity, with (2) (3) (4) closely related to each other.

To start with 'circularity'. Fish offers three examples, the first is taken from Milic (1966):

The low frequency of initial determiners, taken together with the high frequency of initial connectives, makes [Swift] a writer who likes transitions and made much of connectives.

This statement is circular but one can dismiss this 'example' on the grounds that (other) stylisticians seldom, if ever, make such a statement (like 'The large amount of adjectives in the text indicates that the writer likes to use adjectives') and, further, that such a statement has nothing to do with stylisticians' characteristic mode of argumentation which is, significantly, marked by a **progression** from linguistic form to literary significance .

Another example is taken from Halliday (1971) who, commenting on a sentence from Through the Looking Glass: 'It's a poor sort of memory that only works backwards', says,

The word *poor* is a 'modifier', and thus expresses a subclass of its head word *memory* (ideational); while at the same time it is an 'epithet' expressing the Queen's attitude (interpersonal), and the choice of this word in this environment (as opposed to, say, *useful*) indicates more specifically that the attitude is one of disapproval....

And here is Fish's charge:

When a text is run through Halliday's machine, its parts are first disassembled, then labeled, and finally recombined into their original form. The procedure is a complicated one, and it requires a great many operations, but the critic who performs them has finally done nothing at all.

Now, it might be superfluous to point out that the analysis in question is a linguistic description (used to illustrate the fact that a sentence embodies different language functions (see Halliday, 1971: 331–7) ); and it might be truistic to assert that descriptive linguistics is distinct from stylistics (though the two may, up to a point, overlap). What a linguistic description tries to achieve is to formalize and, possibly, to enhance one's intuitive awareness of language, either in terms of its grammatical function, e.g.

John	loves	music.
Subject	Verb	Object

or in terms of the more general language functions (as in the present case) or of the like.

Clearly, to accuse Halliday's description above of being circular is, by extension, to accuse all linguistic or grammatical statements of being circular (Indeed, describing 'John' as 'subject', 'loves' as 'verb', 'music' as 'object' seems to involve more 'circularity' – in Fish's sense). And to say that 'the critic who performs them has finally done nothing at all' is by extension to nullify all efforts made by linguists or grammarians. Now, it goes beyond the present concern to explicate further the goals or principles of inquiry of linguists or grammarians. Suffice it to say that this example does not apply to stylistics as an intermediary discipline. Its being brought in may be attributable either to a lack of awareness of the distinction between linguistic description and stylistic analysis, or, if not, to a purposeful attempt to make a characteristic of one discipline (a perfectly understandable and justifiable characteristic indeed) pass off as that of another discipline.

The remaining example is the only one that has to do with stylistics but which, as will soon become apparent, is unrepresentative of this discipline. It is taken from Thorne (1970) who, after an analysis of some linguistic features in



Donne's 'A Nocturnal Upon St Lucie's Day', observes in passing:

It seems likely that these linguistic facts underlie the sense of chaos and breakdown of natural order which many literary critics have associated with the poem.

And here is Fish's charge of 'circularity':

That sense... has obviously been preselected by Thorne and the critics he cites, and is, in effect, responsible for its own discovery.

It should be mentioned in the first place that Thorne, in this part of his essay (see note 4), is concerned with linguistic structures characteristic of poetry and with how to give them an adequate grammatical description. As a matter of fact, except for the passing note quoted above, hardly any attention is paid to the relation between syntax and literary significance as such. Apparently being preoccupied with other concerns, Thorne happens to refrain here from mentioning his own interpretation and refers instead to the interpretation of some critics.

Now, need it be asserted that such a case is rarely seen in stylistic analysis? Indeed, one needs only to read the preceding part of this same essay by Thorne (pp.190-1) for exemplification of the fact that stylisticians usually state their **own** responses to the linguistic facts, in which case, Fish's charge of 'circularity' no longer holds good. Given such a statement: 'These linguistic facts underlie **my** feeling/sense of chaos', the feeling/sense is clearly not 'responsible for its own discovery' but is, instead, elicited by the linguistic facts.

It is not surprising that none of these 'examples' really supports the charge of circularity. As an intermediary discipline, stylistics is marked by a progression, versus circularity, in argument from linguistic form to literary significance. It is this progression that, as will be recalled, bears the burden of





human intuition, the assumption that one can read directly from linguistic form to the quality of an author's mind is – and here I agree with Fish – 'unexamined and highly suspect': hence the arbitrariness or illegitimacy.

By contrast, in (ii) the critic's intuition forms one of the two directly involved factors. The 'mood' in question is, as a matter of fact, the critic's own intuitive response elicited by 'this highly repetitive style' among other things. The 'style' and the 'mood' (generated in the critic's mind) are causally related: the former giving rise to the latter. In sharp contrast with (i), the assumption here that one can read directly from linguistic form to literary significance is, given the existing power of human intuition, widely if not universally accepted – and undoubtedly by Fish himself. If enough competent readers share Thorne's interpretation, the causal relation between the style and the mood (in the reader's own mind) can be established on the scale of the implied readership. But even if competent readers, who obviously cannot penetrate into the author's mind, all share Milic's interpretation or Fish's alternative, the causal relation between the two phenomena concerned cannot be established on any scale.

What makes the case interesting is that, in order to make the fallacious analogy appear reasonable, Fish uses Thorne's passing note (see above) to represent, as the only example given, Thorne's or stylisticians' reading from syntax to literary significance. Fish writes,

Thorne discovers, for example, that in Donne's 'A Nocturnal Upon St Lucie's Day' selectional rules are regularly broken. 'The poem has sentences which have inanimate nouns where one would usually expect to find animate nouns, and animate nouns...where one would expect to find inanimate nouns.' 'It seems likely', he concludes, 'that these linguistic facts underlie the sense of chaos and the breakdown of order which many literary critics have associated with the poem' (see note 5)

As already noted, such a case rarely occurs in stylistic analysis. As a matter of



plain fact, in a reading from syntax to literary significance, Thorne and other stylisticians usually state their own interpretations of the linguistic facts involved. This is exemplified by the second part of this same essay of Thorne's from which (ii) is quoted but which is, completely and unjustifiably, left out by Fish.<sup>6</sup> The reason for this 'editing' may emerge by way of comparing the following kinds of statement:

- (a) these linguistic facts underlie **my** feeling/sense of chaos
- (b) these linguistic facts underlie **their** feeling/sense of chaos
- (c) Swift's use of series argues a fertile and well stocked mind
- (d) these linguistic facts (underlie my sense of chaos and) seem likely to underlie their sense of chaos

Type (a) is, as analysed above, legitimate. Type (b), however, is open to Fish's criticism. Unless the speaker 'I' is informed by 'they', 'I', as a **third** party, is in no position to know whether the linguistic facts and their feeling/sense are actually correlated or not. Thus (b) is an illegitimate assertion (unless...) in that their sense of chaos may have little or nothing to do with the linguistic facts observed by 'I' (the case is therefore as illegitimate as reading from syntax to personality (c) ). Indeed, by now the reason why Fish leaves out Thorne's second part and chooses instead the 'example' concerned should have become apparent.

In effect, Thorne's claim 'It seems likely...' does not belong to (b) but to (d) which is, instead of an assertion, a conjecture. According to Fish, Thorne's claim

is at once arbitrary and purposeful. The 'breakdown of order' exists only within his grammar's system of rules (and strange rules they are, since there is no penalty for breaking them); it is a formal, not a semantic fact (even though the rules are semantic), and there is no warrant at all for equating it with the 'sense' the poem supposedly conveys.



Obviously, Thorne's speculation is treated here as an illegitimate assertion (compare (d) with (b) ). The point to notice is that, as a speculation, Thorne's claim is legitimate. It is true that the linguistic fact is formal not semantic. But in my view, the remark 'it is a formal, not a semantic fact' serves merely to blur the picture. The relationship under discussion is one between linguistic **form** and literary significance or, in Fish's own words, 'between structure and sense'. The linguistic fact is certainly no other than formal or structural. The 'warrant' for having such a speculation lies, as in the case of a stylistician's own reading from 'structure' to 'sense', in a set of conventions: a) the rule of significance, i.e. it is possible for linguistic form to take on literary significance, b) there being a 'parallel' (see chapter 4), c) the thematic unity of form and content (see the discussion above). These underlying conventions, at least (a) and (c), are taken for granted by Fish himself who should therefore be aware that there is, in effect, warrant for Thorne to speculate about the possible correlation between the structure and the sense concerned.

As distinct from Pearce, Fish's charge of arbitrariness also bears on the descriptive apparatus used by stylisticians. Part of the reason for Thorne's being chosen as a target lies in Thorne's being a linguist of 'the generative persuasion'.<sup>7</sup> Fish asserts that transformational devices 'operate independently of semantic and psychological processes' and that it is therefore unjustifiable to read from those devices to literary significance. Thus, while acknowledging the possible relation between structure and sense, Fish regards Thorne's claim above as illegitimate for, among other things, 'the "breakdown of order" exists only within his grammar's system of rules'. Prior to this, in a criticism of another transformational linguist, Richard Ohmann, Fish writes,

...in order to turn the description into a statement about Faulkner's conceptual orientation, Ohmann would have to do what Noam Chomsky so pointedly refrains from doing, assign a semantic value to the devices of his descriptive mechanism, so

that rather than being neutral between the processes of production and reception, they are made directly to reflect them. In the course of this and other essays, Ohmann does just that, finding, for example, that Lawrence's heavy use of deletion transformation is responsible for the 'driving insistence one feels in reading' him...

It should be noted in the first place that descriptive apparatus or formal terms, which belong to a metalanguage (though taken from the object language), do not have any signification unless used in connection with their referents; the relationship between the two, as that between sign and meaning, is arbitrary. In stylistic analysis, formal terms are used quite literally to 'symbolize' structural choices which occur in actual language events. In the present cases, the breaking of 'selectional rules' (in a Donne poem) or the heavy use of 'deletion transformations' (in Lawrence's work) refers to particular structural choices found in the text.<sup>8</sup>

Given Fish's acknowledgement of the possible correlation between 'structure' and 'sense', he apparently does not take structural choice as being independent of semantic and psychological processes or as being neutral between the processes of production and reception. So on the one hand, Fish takes the following correlation to be possible:

Structural Choice                      and                      Significance

while on the other, he denies the possible correlation between

Structural Choice                      and                      Significance  
(as symbolized by  
formal terms)

And he glosses over the inconsistency by substituting a tripartite relation:

(1) Structural Choice – Formal Description – Significance

by a binary relation:



## (2) ( -- ) - Formal Description - Significance

Thus, in Thorne's case, the correlation is made to appear as one between something existing 'within his grammar's system of rules' and the 'sense' concerned; similarly, in Ohmann's case, as one between 'the devices of his descriptive mechanism' and 'a semantic value'. I would like to stress that, no matter in what terms the structural choice is formalized, the stylistician is not talking about the correlation between significance and the formal terms as such but about the correlation between significance and the structural choice as symbolized by the formal terms. If one does not deny the possible correlation between structure and sense, there is surely no reason for one to deny the possible correlation between structure (expressed in formal terms) and sense.

Now, we have seen that Fish's charge of arbitrariness, directed against reading from linguistic form to literary significance, rests on a number of misleading devices, namely, (1) equation: that which makes the analytic mode appear as illegitimate as reading from linguistic form to personality; (2) surrogation: as if the mode comprised the stylistician's description on the one hand and the literary critic's interpretation on the other; and (3) substitution: making what is actually a correlation between linguistic choice and significance appear as a correlation between formal categories and significance. All these devices are, not surprisingly, used by Fish in his criticism of what he sees as arbitrariness in Halliday's analysis of Golding's The Inheritors (1971).

Fish begins his attack by asserting that Halliday is determined to 'confer a value on the formal distinctions his machine reads out'. Commenting on Halliday's observation:

It is particularly the lack of transitive clauses of action with human subjects...that creates an atmosphere of ineffectual activity; the scene is one of constant movement, but movement which is as much inanimate as human and in which only the mover is affected.... The syntactic tension expresses this



combination of activity and helplessness. No doubt this is a fair summary of the life of Neanderthal man.

Fish says,

This paragraph is a progression of illegitimate inferences. Halliday first gives his descriptive terms a value, and then he makes an ideogram of the patterns they yield. Moreover, the content of that ideogram – the Neanderthal mentality – is quite literally a fiction (one wonders where he got his information), and it is therefore impossible that these or any other forms should express it.

Fish's criticism here displays two devices which I have just referred to as 'substitution' and 'equation' (in disguised form). According to Fish's criticism, instead of interpreting the writer's structural choice (as formalized in transitivity terms), Halliday gives his descriptive terms [themselves] a value and then makes an ideogram of the patterns they yield, or put in Fish's plainer words, he goes 'directly from formal categories to interpretation'. This, as I have argued, is misleading. What makes the case particularly interesting is that choices in transitivity are in effect 'semantic options' (Halliday, 1971:359) and the formal categories, as essentially semantic or notional concepts, are closely related in sense to their referents.<sup>9</sup> Thus, one may find Halliday's formal description to correspond fairly closely to one's ('raw') intuitive understanding:

The typical pattern is exemplified by the first two clauses, *the bushes twitched again* and *Lok steadied by the tree*, and there is no clear line, here, between action and location: both types have some reference in space, and both have one participant only. The clauses of movement usually...also specify location, e.g. *the man turned sideways in the bushes*, *he rushed to the edge of the water*, and on the other hand, in addition to what is clearly movement, as in *a stick rose upright*, and what is clearly location, as in *there were hooks in the bone*, there is an intermediate type exemplified by [*the bushes*] *waded out*, where the verb is of the movement type but the subject is immobile. The picture is one in which people act, but they do not act on things; they move, but they move only themselves, not other objects.... Moreover a high proportion ...of the subjects are not people; they are either parts of the body...or inanimate objects. (1971: 349)

Being themselves semantic options, choices in transitivity seem to come very close to some interpretations they yield. In the present case, the interpretation 'the picture is one in which people act, but they do not act on things; they move, but they move only themselves, not other objects' is directly derivable from the relevant semantic choices. The same applies to the preceding quotation where the interpretation 'the scene is one of constant movement, but movement which is as much inanimate as human and in which only the mover is affected' is in essence very much a matter of linguistic fact, as is, though to a lesser extent and in a less obvious form, 'an atmosphere of ineffectual activity'. The only thing that involves a real progression from linguistic fact to literary significance is the sense 'helplessness' which is perceived intuitively in the light (as Fish dubs it) of the Darwinian reading of the novel. I have argued at length about the legitimacy of this progression in general. In this particular case, suffice it to say that it conforms well to the set of underlying conventions (see note 10).

There is little doubt that the interpretations involved form the stylistician's own intuitive understanding of the text. But, as quoted above, the matter of 'mentality' is brought in by Fish to blur the issue:

Moreover, the content of that ideogram – the Neanderthal mentality – is quite literally a fiction (one wonders where he got his information), and it is therefore impossible that these or any other forms should express it.

What I see in this is the device of 'equation' in disguised form. Fish is apparently trying to make the present mode of argumentation appear as illegitimate as, say, 'Swift's use of series argues a fertile and well-stocked mind.'<sup>11</sup> This is misleading. Need it be repeated that 'an atmosphere of ineffectual activity' and 'the scene is one of constant movement...' etc. are the stylistician's own intuitive responses to the text? As quoted by Fish, the critic is



giving a 'summary of the life of Neanderthal man' as viewed by Lok. It is a life ascribed to Neanderthal man by Golding's linguistic choices. Surely, as far as the self-contained fictional world is concerned, there is only one singly source of information, namely, the linguistic signs in the text.

Now, I would like to touch on Fish's device of 'surrogation' as applied to Halliday. Fish writes,

There is some evidence that the interpretation is not his own (he refers with approval to the 'penetrating critical study' of Mark Kinkead-Weeks and Ian Gregor).

I have argued at some length about the misleading nature of the device of 'surrogation'. Here I would only want to say that referring 'with approval' to the interpretation of others does not mean that the interpretation is not the stylistician's own: it is in my opinion a matter of sharing the same interpretation.

Another device used by Fish is one that we met in Pearce's case, namely, to offer alternative interpretation(s). After giving a summary of Halliday's interpretation:

The novel receives a Darwinian reading in which the grammatically impoverished 'people' are deservedly supplanted by the 'new people' whose fuller transitivity patterns are closer to our own: 'The transitivity patterns...are the reflexion of the underlying theme...the inherent limitations of understanding of Lok and his people and their consequent inability to survive when confronted with beings at a higher stage of development'... The remainder of the essay is full of statements like this

Fish says,

Given the evidence, at least as he marshals it, the way seems equally open to an Edenic rather than a Darwinian reading of the novel, a reading in which the language of the 'people' reflects (or embodies or enshrines) a lost harmony between man and an animate nature. The triumph of the 'new people' would then be a disaster, the beginning of the end, of a decline into the taxonomic aridity of a mechanistic universe.





There seems little point for me to repeat what I said in dealing with Pearce's alternatives. Suffice it to say that there exists a set of underlying conventions by which the alternative interpretations can be tested (see note 12). What I find interesting here is that Fish's alternative does not, as far as I can see, really form a contradiction. The 'inherent limitations of understanding of Lok and his people' can coincide with a 'harmony between man and an animate nature'; similarly, 'beings at a higher stage of development' can coincide with 'the taxonomic aridity of a mechanistic universe'. The language, I think, can be said to reflect both. In the context of the novel, however, Golding does not seem to be concerned with the opposition or contrast between the 'harmony' and the 'aridity' in question. It follows that if both interpretations are backed up by a 'parallel' which correlates the linguistic form with the response elicited, it is perhaps only Halliday's interpretation that conforms to the convention of thematic unity of form and content (the Darwinian reading in itself seems to be accepted by Fish). This brings us to the following observation by Fish:

Halliday's interpretation precedes his gathering and evaluation of the data, and it, rather than any ability of the syntax to embody a conceptual orientation, is responsible for the way in which the data are read.

It is misleading to use the term 'precede' in an absolute sense. I have no doubt that Halliday's gathering and evaluating of the data is done in the light of the meaning or value of the work. But this does not mean that the critic first interprets the meaning and only then goes about gathering and evaluating the data. As is normally the case, a stylistician approaches a text with the intention both to interpret its meaning and, as his primary concern, to see how linguistic features reinforce or contribute to it. In the process of reading (which often has to be repeated),<sup>13</sup> there is, in Leech and Short's words, 'a cyclic motion whereby linguistic observation stimulates or modifies literary insight, and

whereby literary insight in its turn stimulates further linguistic observation' (1981: 13; see also Widdowson, 1972a:29; Nash, 1981:113; Fowler, 1986:6-7). To this, Halliday's case does not seem to form an exception.<sup>14</sup>

Closely related to the charge of 'arbitrariness' is Fish's charge of 'decontextualization'. According to Fish, lack of contextual constraint partly underlies the 'arbitrariness' or 'illegitimacy' of stylistic analyses. In terms of the characteristic mode of argumentation, Thorne and Halliday bear the brunt of the attack. In Thorne's case, Fish's charge is in effect based on an equation imposed on two different modes of analysis. Fish writes:

Thorne begins in the obligatory way, by deploring the presence in literary studies of 'impressionistic terms'....the task of stylistics is to construct a typology that would match up grammatical structures with the effects they invariably produce: 'If terms like 'loose', or 'terse' or 'emphatic' have any significance...it must be because they relate to certain identifiable structural properties (pp.188-9) What follows is a series of analyses in which 'identifiable structural properties' are correlated with impressions and impressionistic terms. Thorne discovers, for example, that in Donne's 'A Nocturnal Upon St Lucie's Day' selectional rules are regularly broken.... 'It seems likely', he concludes, 'that these linguistic facts underlie the sense of chaos and the breakdown of order which many literary critics have associated with the poem'.... It is not my intention flatly to deny any relationship between structure and sense, but to argue that if there is one, it is not to be explained by attributing an independent meaning to the linguistic facts, which will, in any case, mean differently in different circumstances....

The analysis of the Donne poem is taken from the third part of Thorne's essay (see note 5) which is made by Fish to serve as an example of 'a series of analyses in which "identifiable structural properties" are correlated with impressions and impressionistic terms' (the concern of Thorne's first part, see note 4). Thus the correlation between structure and sense is equated with the correlation between identifiable structural properties and impressionistic terms like 'terse', 'complex' and 'emphatic'. This imposed equation is at once misleading and purposeful.



The two correlations in effect differ fundamentally from each other in that the correlation between structure and impressionistic terms is marked by invariability while the correlation between structure and sense is context-bound. This may be accounted for by the fact that the two actually do not belong to the same 'level'. The point will be clearer if we have another look at the following observation by Thorne:

This highly repetitive style plays a major part in creating the mood of aimless, nervous agitation the passage conveys.

Clearly, this sentence contains two 'levels': the more basic level 'style' and the higher level 'mood': the former generating the latter. As a matter of fact, the correlation between 'identifiable structural properties' and 'impressionistic terms' goes no further than the basic level (while the other correlation is one between the basic and the higher level).

Broadly speaking, the basic level in itself contains two levels: one basic (identifiable structural properties), one higher (impressions or impressionistic terms like 'repetitive', 'complex', and 'terse'). Significantly, this higher level consists of judgements that are, in essence, structural or linguistic. The point may become clearer if we replace the term 'style' by 'structure': 'these highly repetitive structures' or 'these complex/ terse/emphatic structures'. It is therefore not surprising that the correlation is invariable, irrespective of changes in context.

As distinct from this correlation (between structure and structural judgement), the other correlation is one between linguistic fact and literary significance (compare: 'these structures are complex' with 'these complex structures help to convey the sense or mood of...'). Thus, over and above linguistic competence, what underlies a stylistician's claim of the latter correlation is literary competence, i.e. a set of literary conventions, the most



fundamental of which is the convention of thematic unity of form and content (see above). By this is meant that such a claim is necessarily contextualized. This is a fact that is, as we have seen, acknowledged by Pearce:

There are, though, in all of these claims, the possibilities of empirical significance. It may be possible to set the constraints in such a way that the claims become: *in this context* such and such an effect is produced. (Pearce's emphasis)

And directed against Cluysenaar's claim in particular, Pearce says,

It is clear that it is only the details of the interpretation of the poem that have led to the imposition of this significance on a syntactically incomplete line. Cluysenaar would obviously not want to claim that incomplete lines always represent time snatched away, or them always being short of time.

Given the fundamental difference between the two kinds of correlations (one context-free, one context-bound), it is highly misleading for Fish to use the analysis of the Donne poem as an example of 'analyses in which "identifiable structural properties" are correlated with impressions and impressionistic terms'. As a result, reading from structure to sense is equated with reading from structure to impressionistic terms, the former consequently being made to appear as unbound by context as the latter. Thus, Fish gains a chance to criticize Thorne in terms of 'attributing an independent meaning to the linguistic facts' and, furthermore, a chance to make himself a saviour of the stylistician's characteristic mode of argumentation:

It is possible, I suppose, to salvage the game, at least temporarily, by making it more sophisticated, by contextualizing it.

To this, one can simply reply that there is no such a need since the game is already contextualized (see note 15).

Closely related to the charge of decontextualization is the heart of Fish's

attack, to the effect that stylisticians do not take account of the reader's reading activity. In Fish's opinion, stylisticians

acknowledge no constraint on their interpretations of the data. The shape of the reader's experience is the constraint they decline to acknowledge. Were they to make that shape the focus of their analyses, it would lead them to the value conferred by its events. Instead they proceed in accordance with the rule laid down by Martin Joos: 'Text signals its own structure', treating the deposit of an activity as if it were the activity itself, as if meaning arose independently of human transactions.

Whatever the denotation or connotation of 'the reader', in a literal sense, 'the reader' can only refer to the analyst. It follows that Fish is actually criticizing stylisticians in terms of not taking into account their own reading activities. Considering literary stylistics as a whole, I think this charge is also unreasonable (some individual stylisticians, though, do neglect the actual reading experience – see the discussion in 4.4.). I have been stressing the fact that the literary conclusions in stylistic analysis are usually no other than the analysts' intuitive responses (to the data) which are elicited in the reading process.<sup>16</sup> That is to say, the literary significance is precisely a 'value conferred by its events', i.e. 'acquired' by stylisticians in the context of the reading activity.

Nevertheless, what Fish means by focusing on the shape of the reader's experience is much more than what stylisticians practise. In Fish's view, the legitimate analytical method is one that should

*slow down* the reading experience so that 'events' one does not notice in normal time, but which do occur, are brought before our analytical attentions. It is as if a slow motion camera with an automatic stop action effect were recording our linguistic experiences and presenting them to us for viewing. (1970: 128)

Stylisticians usually do not, so to speak, bother to slow down the reading experience which comprises, in Fish's words (1970: 140), 'all the precise mental



operations involved in reading, including the formation of complete thoughts, the performing (and regretting) of acts of judgement, the following and making of logical sequences'. (An approach that deals with such kinds of mental operations is naturally more 'operational' than that of the stylisticians.)

The analytical mode proposed by Fish is, in my view, perfectly legitimate, although it might be a laborious, if not an inapplicable, approach when the text contains more than a few sentences. The point to notice is that the literary stylistician's analytical mode is also legitimate. Given that the reading experience, whether put down on paper or not, remains the same and that the interpretations, in either case, are intuitive responses<sup>17</sup> acquired by the analyst in the reading activity, the difference between the two approaches seems to me to be not much more than a difference in the level of abstraction at which the analysis operates (see note 18 and the classification at the end of this chapter). This may be backed up by the fact that once Fish's analysis begins to operate at an abstract level, (i.e. in a summary fashion, as opposed to recording chronologically every moment of the 'raw' - possibly 'preconscious' - interpretative process), it begins to sound very much like a stylistician's production, for example:

there are two vocabularies in the sentence; one holds out the promise of a clarification - 'place', 'affirm', 'place', 'punctual', 'overthrow' - while the other continually defaults on that promise - 'Though', 'doubtful', 'yet', 'impossible', 'seems';... The indeterminateness of this experience is compounded by a superfluity of pronouns.... (1970: 125)

Whether aware of it or not, Fish's analysis at such moments deviates, to a certain extent, from his basic principles. First, the lexical choices, which are singled out with a certain degree of generality, are in a sense considered in relation to each other. What is focused on here is in effect some relevant semantic similarity within, or contrast between, the two vocabularies (or the

interaction between the pronouns).<sup>19</sup> Closely related to this is the deviation from the consideration of the temporal flow of the reading experience which forms the 'basis' of the mode proposed by Fish who assumes that

the reader responds in terms of that flow and not to the whole utterance. That is, in an utterance of any length, there is a point at which the reader has taken in only the first word, and then the second, and then the third, and so on, and the report of what happens to the reader is always a report of what has happened *to that point* (1970: 127)

This obviously does not apply to the analysis quoted above where the temporal/chronological order is, as it were, broken and where the analyst (who I suspect has gone through the whole utterance more than once) is apparently taking account of the whole utterance. As a result, one's precise responses to each individual word are obscured (the response to 'place' is presumably different from that to 'affirm') and the responses to the words in between 'overlooked'. But this 'loss' is accompanied by a perceptible 'gain': the relevant aspect of the linguistic experience is systematized or organized in terms of similarity or contrast and is thereby refined as well as highlighted (which is an advantage of investigating formal patterns).

Interestingly but not surprisingly, in dealing with 'units larger than the sentence', Fish's analysis operates at an even higher level of generality. In his analysis of Plato's the Phaedrus (1970: 135-8), one is given, instead of 'the basic data of the reading experience', general summaries or impressionistic conclusions, such as

The Phaedrus is a radical criticism of the idea of internal coherence from a moral point of view; by identifying the appeal of well-put-together artifacts with the sense of order in the perceiving (i.e., receiving) mind, it provides a strong argument for the banishing of the good poet who is potentially the good deceiver.

In order to reach such general conclusions, i.e. to answer the question 'What



does the Phaedrus as a whole do?'), the mind needs to operate at a considerably high level of generality. The reader/critic simply has to 'slight' what each individual word does (possibly whole sentences or even larger units are slighted) in a consistent and progressive effort of summarizing or generalizing.

These deviations or inconsistencies in Fish's practice point to the fact that the analyst's task is (at least potentially) not only to (1) duplicate or record 'moment by moment' the interpretative process (i.e. to play the function of a 'slow motion camera') but also to (2) systematize/organize some moments of responses or 'cues' of responses (formal patterns) in terms of similarity or contrast, and to (3) summarize/generalize the whole experience. Each approach has its own advantages and limitations. Approach (1) has the virtue of bringing to light 'all the precise mental operations involved in reading' but it leaves no room for organizing or generalizing (some aspects of) the reading experience. The second approach highlights the interaction between the relevant (cues of) responses but necessarily involves overlooking the intermediate ones. The third approach synthesizes the whole only at the expense of the 'basic data' of reading.

If the three approaches are taken as three mental processes, they are, I think, actually parallel in the reading activity. While responding to the text 'bit by bit, moment by moment', the mind is, perhaps unconsciously, responding to the interaction between the elements (normally not in succession) of a formal pattern; similarly, while interpreting one word, phrase etc. after another, the mind is trying to reach such general conclusions as the one quoted above. The point to notice is that as far as the analyst is concerned, he is able to focus, at least at any given moment, only on one approach or process and, moreover, that one approach cannot take the place of another (each with its own concern and procedure).

In view of the fact that both Fish's criticism of stylistics<sup>20</sup> and his own practice of 'affective stylistics' display a certain measure of non-discrimination, I would like to end this chapter with a classification of different analytical modes, each with its own concern and its own principles of inquiry.

#### (A) FISH'S AFFECTIVE STYLISTICS (1970)

**Object of inquiry:** The interpretative process.

**Procedure:** Recording moment by moment all the precise mental operations involved in reading.

**Criteria of relevance:** All mental operations or responses. Fish insists that 'everything counts', saying, 'For me, a stylistic fact is a fact of response, and since my category of response includes everything, from the smallest and least spectacular to the largest and most disrupting of linguistic experiences, everything is a stylistic fact' (p. 159)<sup>21</sup> This is a point where Fish's mode differs fundamentally from the literary stylistician's characteristic mode. Instead of recording indiscriminately all (potential or actual) responses called out by a text, the stylistician concerns himself only with (the effects of) those linguistic features which are artistically or thematically motivated. (One may note that some of Fish's data are decontextualized sentences which are discussed without any reference to the theme or total meaning of the works concerned). The recording of all mental operations is however often both laborious and unnecessary (it is surely redundant to record, say, the fact that the sign 'table' arouses a mental image of the physical object referred to), if not impracticable. It is therefore not surprising that Fish is after all selective, as reflected in this statement:

This is not to say that I do not evaluate. The selection of texts for analysis is itself an indication of a hierarchy in my own tastes. In general I am drawn to works which do not allow a reader the security of his normal patterns of thought and belief. It would be possible I suppose to erect a standard of value on the basis of this preference – a scale on which the most unsettling of literary experiences would be the best (perhaps literature is what disturbs our sense of self-sufficiency, personal and linguistic) – but the result would probably be more a reflection of a personal



psychological need than of a universally true aesthetic. (p. 147)

In some of Fish's sample analyses, this personal aesthetic leads him to focus on various kinds of strategies used to frustrate the reader's expectations, while other aspects of the reading experience are more or less overlooked (see, for instance, pp. 123-5, where, among other places, the thematic relevance, if any, of the strategies is not discussed, showing a tendency of strategies for strategies' sake). I see nothing wrong with this personal aesthetic or with the resulting selectiveness (in such cases, Fish's 'stylistic facts' are implicitly confined to [those responses to] the features that form the strategies involved). And I only hope that one can be equally generous to the stylistician's more universal aesthetic (that of thematic unity of form and content) and to his particular concern with (the effects of) artistically or thematically motivated linguistic features.

#### (B) DIFFERENT MODES OF ANALYSIS IN STYLISTICS

##### (I) A STUDY OF THE RELATION BETWEEN LINGUISTIC FORM AND PERSONALITY

**Object of inquiry:** Linguistic choices habitually preferred by the writer.

**Procedure:** First description: to identify the author's linguistic habits.

Secondly interpretation: to identify the relation, if any, between the linguistic habits and the author's personality.

**Characteristics:** a) There is no connection between the act of description (which can be done by computer) and the act of interpretation. b) There is no contextual constraint. Henry Morier has postulated a one-to-one correspondence between eight classes of style and eight kinds of temperament or mental make-up such as 'weak', 'delicate', 'balanced', 'positive' (see Ullmann, 1965:25-6). If such a correspondence between linguistic habits and their psychological background is valid (which is though highly suspect), it is fixed, unaffected by changes in context. c) The analyst's intuition forms, as noted above, a third element. Whatever attributes with which the linguistic habits are associated (such as 'weak', 'delicate' or 'a fertile and well-stocked mind'), they are not the analyst's intuitive responses to the data but are phenomena (the author's temperament or mental make-up) that actually exist outside the analyst's mind.

(II) A STUDY OF THE RELATION BETWEEN GENERAL SUBJECTIVELY STATED  
IMPRESSIONS OF STYLE (LIKE 'TERSE', 'COMPLEX' OR 'EMPHATIC'  
AND IDENTIFIABLE STRUCTURAL PROPERTIES)

**Object of inquiry:** Types of grammatical structures which underlie the impressions or impressionistic terms.

**Procedure:** First, to form an impression or intuitive judgement of the style (i.e. to see whether the structures are, say, 'complex' 'terse' or 'emphatic'). Then to describe or pin down, typically in transformational terms, the types of structures involved.

**Characteristics:** a) There is some sort of 'circularity': from structures (unidentified) to impression(s) to an identification of the structures (the whole purpose is to pin down what types of structures underlie the subjectively stated impressionistic terms). b) As already noted, there is no contextual constraint: certain types of structures are always 'complex'; conversely, the term 'complex' relates to certain identifiable structural properties. The same holds true for other impressionistic terms and their corresponding structures. c) The correlation involved here is, as noted above, essentially one between structure and (the analyst's own) structural judgement (which is thereby easily testable by one's adequate linguistic competence and which thereby forms a striking contrast to the highly suspect nature of the correlation between syntax and personality).

Finally, we come to our central concern:

(III) A STUDY OF THE RELATION BETWEEN LINGUISTIC FORM AND  
LITERARY SIGNIFICANCE: THE CHARACTERISTIC MODE  
OF ANALYSIS IN LITERARY STYLISTICS

**Object of inquiry:** Artistically or thematically motivated linguistic choices.

**Procedure :** First, to read the text carefully in order to identify motivated linguistic choices. This process of reading (which often has to be repeated) is marked by complex and parallel operations of the mind, such as intuitively perceiving the theme/meaning of the work and observing what and how linguistic features reinforce or contribute to it. There is a 'cyclic motion whereby linguistic observation stimulates or modifies literary insight, and



whereby literary insight in its turn stimulates further linguistic observation' (see above). When the motivated linguistic features are identified, they are usually formalized in linguistic terms (so as to highlight and/or refine the aspect(s) of linguistic function involved) and are, where applicable, systematized or organized in terms of similarity or contrast. Their effects or values (which are in essence the analyst's own responses called out in the reading activity) are discussed or analyzed.

**The relation between the descriptive act and the interpretative act:** As far as this stylistic mode is concerned, the analyst usually starts from the act of interpretation: the determining of artistically/thematically motivated features is in itself an interpretative act. This point may, interestingly, gain some support from this observation by Fish:

What I am suggesting is that an interpreting entity, endowed with purposes and concerns, is, by virtue of its very operation, determining what counts as the facts to be observed, and, moreover, that since this determining is not a neutral marking out of a valueless area, but the extension of an already existing field of interest, it is an interpretation.  
(1973)

Leaving aside the specific referents of the 'purposes and concerns', it seems reasonable to say that what Fish suggests is in effect what stylisticians in this analytical mode usually practise. When it comes to writing, the nature of the object of enquiry (linguistic features and their effects) determines that the interpretative act just referred to is necessarily embodied by two distinctive modes of presentation: description (of the features) and evaluation/interpretation (of their effects). The stylistician may alternate the latter with the former or he may choose, especially when the linguistic features fall into patterns, first to give them a formal description<sup>22</sup> and then to discuss their effects or thematic relevance. The important point to notice is that, in either case, the description (as one of the features selected and evaluated through the process of interpretation) is not only guided by interpretation but also, as just noted, in essence an embodiment of it. Seen in this light, the descriptive act is inseparable from the interpretative act.

It will be clear that this literary stylistic mode, which studies the relation

between linguistic form and literary significance, differs fundamentally from the two preceding stylistic modes both in terms of object of investigation and in terms of principles of inquiry. As shown above, much of the unfairness of Fish's criticism concerning this stylistic mode lies in his treating it on a par with the two preceding modes. Thus some features of the preceding modes, such as 'no connection between the descriptive and interpretative acts' (mode i), 'circularity' (mode ii) and 'no contextual constraint' (i and ii) are imposed on the present mode and made to pass off as its failings (originally, these features do not really constitute failings). While making it clear that these 'failings' which bear the brunt of Fish's charge do not, in effect, belong to this literary stylistic mode, it should also be noted that this mode, like any other mode of argumentation, is not without its limitations. But as a mode of argumentation in itself, it is, in my view, perfectly legitimate.



## CHAPTER 4

### THE LINGUISTIC BASIS: OBJECTIVE OR SUBJECTIVE?

Having discussed, in the preceding chapter, the progression from linguistic form to literary significance, we now come to a consideration of the linguistic basis itself. To a stylistician, linguistic facts constitute the objective basis of literary interpretation. The objectivity of linguistic facts, though taken for granted by stylisticians, is seriously challenged by Stanley Fish who concludes his 'What is stylistics and why are they saying such terrible things about it? Part II' with the following assertion:

formal patterns are themselves the products of interpretation and...therefore there is no such thing as a formal pattern, at least in the sense necessary for the practice of stylistics: that is, no pattern that one can observe before interpretation is hazarded and which therefore can be used to prefer one interpretation to another. The conclusion, however, is not that there are no formal patterns but that there are always formal patterns; it is just that the formal patterns there always are will always be the product of a prior interpretive act, and therefore will be available for discerning only so long as that act is in force. Or, to end with an aphorism: there always is a formal pattern, but it isn't always the same one. (1980:267)

I see in Fish's contention some misunderstanding about the nature of formal patterns in stylistic analysis, a misunderstanding that makes necessary an explication of the linguistic basis so far taken for granted by stylisticians. This chapter is devoted primarily to such an explication, seeking to elucidate what the linguistic basis really involves and, further, to examine to what extent it is objective. To make clearer the relationship between linguistic form and literary interpretation, an explication and evaluation will be taken up in terms of the different degrees of objectivity of the three correlated levels involved in the stylistician's characteristic mode of argumentation: structural feature, psychological value and literary significance, paying special attention to the nature of the psychological value which serves as a link or 'parallel' between

the linguistic basis and the interpretation concerned.

#### 4.1. LINGUISTIC OBJECTIVITY: A MATTER OF CONVENTION

'Objective' and 'subjective' in the modern sense is a distinction drawn between what exists independently of the perceiving or thinking self and what is constituted by mental operations. This distinction, however, does not apply very pertinently to a phenomenon such as language. By language, one does not mean a sequence of sounds (or letters) in their own right but a conventionalized system of sounds or sound symbols used for communication. The term 'word' involves two concepts: the linguistic sign and the symbolized meaning; the relationship between the two is usually not natural but arbitrary, imposed by the perceiving or thinking self and established through convention. Syntactic relationships and other linguistic structures are no less arbitrary.<sup>1</sup> Seen in this light, language, though consisting of real sounds or concrete signs (whose formation is in itself arbitrary), is a subjective system of arbitrary relationships which no longer obtain when the relevant convention changes and which do not obtain outside the given speech community.

Within the linguistic domain, then, the distinction between 'objective' and 'subjective' as usually drawn does not apply, since language is in its very nature a subjectively-produced, arbitrary entity. But, as things are, the distinction between 'objective' and 'subjective' is still drawn in this domain. So far as the modern English speaking community is concerned, the sign 'table' having the capacity of standing for the physical object involved is seen as an objective fact which a member of the community has to take for granted. Similarly, however arbitrary the syntactic or phonological rules, they constitute social facts which individual speakers have to acknowledge and abide by.

Clearly, 'objectivity' has here taken on a new sense which is 'conventionality'. The distinction here between 'objective' and 'subjective' is in



effect one between what is **conventional** and what is **personal**. This change in criterion is inevitable when we move from the natural reality of the world into the social reality of language where there is not any natural but conventional fact and where therefore the only criterion of objectivity is and can only be conventionality.

Bearing in mind that language is a social or conventional reality and that objectivity in the linguistic domain is a matter of conventionality, we now proceed to a tripartite distinction: structural feature, psychological value and literary significance.

## 4.2. STRUCTURAL FEATURE, PSYCHOLOGICAL VALUE AND LITERARY SIGNIFICANCE

### 4.2.1. A Basic Distinction

Language is, to repeat a truism, a patterned system. In the numerous, diversified language events, there are found a limited number of conventionalized structural elements. In terms of the English clause type, there exists a hierarchic structure, ranging from (what is called) a rankshifted clause to a main clause. As regards speech presentation, five basic modes are found in use, such as direct speech and indirect speech (see chapter 8).

These linguistic features are constituted by virtue of (or classified according to) the relation or contrast of these structures to their paradigmatically or syntagmatically related structural elements. Such relations or contrasts, which are established through convention and are therefore regular in language events, often, if not always, give rise to quite constant psychological values. In the conventionalized syntactic hierarchy, a subordinate clause is seen to be psychologically less prominent than a 'corresponding' main clause ('corresponding' in the sense that it could have been chosen instead).

Similarly, the mode of direct speech is seen to have more immediacy or impact by contrast to indirect speech.

The different psychological values taken on by linguistic features are frequently exploited in literary contexts as a means of achieving various thematic significance. The following is a case in point:

Curley's fist was swinging when Lennie reached for it.  
(John Steinbeck, Of Mice and Men, Ch. 3)

This sentence has been discussed by Leech and Short (1981:221):

The second clause of this sentence describes the turning point in the fight between Lennie and Curley, and yet Lennie's action is backgrounded by its subordinate status. On the face of it, Steinbeck would have done better to write something like: 'As Curley's fist was swinging, Lennie reached for it.' But what he did write fits in very well with his overall strategy in the novel, that of absolving Lennie of responsibility for his actions. By downgrading Lennie's part in the fight, he makes it seem an inadvertent and blameless reaction to Curley's onslaught. (1981:221)

The relative psychological obscurity of the subordinate clause is purposefully used here to downgrade the protagonist's action.

The capacity of the passive voice to make obscure the agent role is found exploited by quite a few writers for achieving various thematic effects. In Joseph Conrad's The Secret Agent, for example, in depicting Mrs Verloc's killing of her husband, the writer uses 'the knife was...planted' and 'the blow [was] delivered' (rather than 'she planted the knife', 'she delivered the blow') as a means of strengthening the 'impression of detachment, of someone who is not responsible for her actions' (see Kennedy, 1981:86-9).

In terms of modes of speech (an area in fiction that has been intensively studied by stylisticians), the contrast in impact between the direct and the indirect form is used by many novelists to reflect or underline the contrast in role or attitude of characters (see 8.4.2.1). Such a use is found in that same



novel of Conrad's as a means of emphasizing the contrast between one interlocutor's dominant role and the other interlocutor's submissiveness (see Jones, 1968).

#### 4.2.2. Degrees of Objectivity

Of the three entities involved (structural feature, psychological value and literary significance), structural feature, as conventional fact obtaining within a conventional system, has a strong claim to objectivity in the sense defined above. In modern English, the contrast between, say, (what is called) main and subordinate clause or between direct and indirect speech exists independently of individual speaker's mental operations.

When it comes to psychological value, however, one is on much less sure ground as a whole set of psychological assumptions are brought in. The claim that a main clause is psychologically more prominent than a corresponding subordinate clause may rest largely on two assumptions: that an independent entity is psychologically more prominent than a dependent one (other things being equal), and/or that what is mainly conveyed appears to be more prominent than what is circumstantial (cf. Dillon, 1981:129-134). The objectivity of the claim, then, is determined on the one hand by the truth of the presumed perceptual characteristics and, on the other hand, by the truth of the presumed linguistic convention: whether the (what is called) subordinate clause is truly dependent on the main one and/or whether the former is circumstantial in relation to the latter. If the truth of both aspects obtains (exceptional cases are, of course, always expected in such a social reality), the claim can be regarded as objective.

The same applies to other correlations between linguistic features and psychological value. Take, for example, the claim that 'Y was done' has, by contrast to 'X did Y' or 'Y was done by X', the effect of making implicit and

therefore of obscuring the agent 'X'. The objectivity of this claim rests partly on the truth of the perceptual assumption that what is explicitly stated is psychologically more prominent than what is merely implied and partly on the linguistic convention that the agent is usually spelt out, against which assumption the judgement 'making implicit' alone makes sense.

The contrast in immediacy or impact between direct and indirect speech again rests on the linguistic convention on the one hand (i.e. the contrast between the presence and absence of quotation marks as well as the contrast in person, tense and deictics) and on the other hand on human perceptual characteristics (the difference in psychological distance or impingement between perceiving what is actually occurring and perceiving what is indirectly reported).

Two points should be noted here. First, as a simple matter of this feature producing this psychological effect, such a correlation is characterized by directness and specificity. Secondly, due to the fact that the linguistic contrasts are conventionally regular and the perceptual characteristics involved are communal, if not universal, the correlation in question is stable, unaffected by changes in context. These factors contribute to the testability or determinacy of the correlation involved.

~~Inde~~terminacy arises much more when we proceed to the correlation between structural feature and literary significance (via, importantly, the more basic correlation between structural feature and psychological value). Broadly defined, the literary significance in question is the thematic value taken on by a structural feature in a **particular literary context**. In the last section, I mentioned several examples of the correlation between structural feature and literary significance, such as Steinbeck's use of a subordinate clause to downgrade Lennie's action, making it seem 'an inadvertent and blameless reaction to Curley's onslaught' or Conrad's use of passive transformation in



depicting Mrs Verloc's action as a means of strengthening 'the impression of detachment, of someone who is not responsible for her actions'.

Essentially, two determining factors are found operating here. One is the linguistic form (or formal pattern) and its basic psychological effect, e.g. syntactic subordination and the resultant psychological obscurity; the other takes the shape of the context in which the linguistic form is found.

It should be noted that, in discussing the correlation between a linguistic form and its literary significance, the more basic correlation between the linguistic form and its (basic) psychological value is sometimes not spelt out. But whether stated or not, this more basic correlation always exists, serving as, so to speak, an indispensable bridge that links the linguistic form with the significance involved. In my opinion, the objectivity of the correlation between linguistic form and literary significance is very much contingent upon the distance between the basic psychological value (which is unaffected by changes in context) and the contextualized literary significance. To return to Cluysenaar's analysis of

Swiftly the years, beyond recall.  
Solemn the stillness of this spring morning.

discussed in the preceding chapter. In this case, the basic psychological effect produced by the syntax of line 1 seems no more than the feeling of 'its being incomplete or unfinished', which is quite some distance from, though associated with, the thematic value of 'being short of time'. Of the two determining factors which operate here: a) the linguistic form and its basic context-free psychological effect and b) the particular literary context, the latter seems to have a large part to play, which means that a greater role is played by subjective association than by objective linguistic fact.

For a reason that I shall come to shortly, the structural feature itself forms

a stronger determining force in the cases referred to in the last section. Another such case is found in Joseph Heller's 'Catch-22' where, in depicting a brisk sequence of events, the writer uses a long 'run on' sentence to generate an effect of everything happening at once. There is here a shorter distance between the basic psychological effect of 'the syntax being interconnected, "run on"' and the contextual significance of 'the events being interconnected, to the point of a pseudo-simultaneity' (see the analysis by Turner, 1975:73).

It is important to note that the 'distance' in question is not a matter of similarity in the superficial sense. It is, to a great extent, a matter of the conventional relation between the depicting means and what is depicted. In the conventional use, syntactic completeness or incompleteness has nothing to do with the significance of time. But syntactic connection does have to do with the connection between events. If two events are interconnected, they are likely to be put into the same sentence; if not, they are likely to be marked off from each other by a sentence boundary. That is to say, syntactic relation is conventionally used to reflect or underline the relation between events.

The same applies to the three cases mentioned in the last section: syntactic subordination is conventionally used to foreground or background events; passive voice offers a conventional means of obscuring the agent role; similarly, indirect speech (by contrast to direct speech) provides a conventional means of toning down and distancing the speech. As distinct from Cluysenaar's case, there is here an **intrinsic** link between the basic psychological effect conventionally associated with the linguistic features and the thematic significance associated with the features in the given literary contexts.

At this point, it seems worthwhile to bring in Epstein's analysis of Milton's 'Lycidas', line 167:

Sunk though he be beneath the watry floar



In pronouncing the stressed vowels, the movements of the tongue and lower jaw from 'mid central' to 'high front' to 'back' are said to mime 'the relationship low-high-low expressed in the lexis – the body of Edward King on the sea floor (low) and the surface of the sea (high). The high front vowels mime the notion "the watery floor" far beneath which King has sunk' (see Epstein, 1981:181).

This observation is highly subjective and arbitrary in that, according to convention, the movements of the tongue and lower jaw (which do not, strictly speaking, even belong to language proper) do not have anything to do with the movements of the represented phenomena. In reading, one responds to the words, the syntax, the phonological sounds or to the lay-out of the text, but not, at least not usually, to the movements of the tongue and lower jaw. One certainly does not feel any contradiction between the position of the tongue in pronouncing the stressed vowel of 'above' (mid central) and the meaning of the word ('on top of or higher than').

Unless the text brings in some way the imitative function of such physical movements into the reader's interpretative activity (cf. Attridge, 1982:291–2), it is arbitrary to make associations between those movements and the meaning of the text. If in Cluysenaar's case above, the incomplete predication of line 1 constitutes a striking deviation from the norm, apparently forming a device thematically motivated and consciously chosen (rather than a mistake resulting from carelessness), in the present case, the text does not seem in any way to draw attention to the movements of the tongue and lower jaw involved. The analyst, however, does find something deviant: 'The unusual number of high front vowels – four in a row ['he be beneath'] – flanked by mid or back vowels suggest that this phonological mimesis is deliberate' (p.181). But as far as I can see, the 'unusual' frequency of the high front vowels, upon which Epstein's claim for the writer's conscious choice is based, is not really unusual. The

point will be clear if we compare 'he be beneath' with 'he is beneath' or 'it is beneath his dignity'. In both cases, the frequency of high front vowels seems to be at once normal and accidental. Interestingly, Epstein's case, which relies on the fact that the same term 'low' or 'high' can be used to describe both the position of the jaw or tongue and the spatial situation of what is being described in the poem, seems to form a telling example of 'metaphorical slippage' or of 'fancied resemblances' which arise merely from the ambiguity of words, such as the fancied connection 'between a *soft* line and *soft* couch, or between *hard* syllables and *hard* fortune' (see Attridge, 1982:289).

Epstein's analysis has in fact been criticized by Stanley Fish in 'What is stylistics? Part II'. But Fish's criticism is somewhat off the point. The burden of Fish's first charge is the incomparability between the two kinds of motion concerned:

the two patterns – one phonological, the other lexical – are not parallel in a way that would allow the first to be mimetic of the second. The movement low-high-low occurs on a vertical plane, while the movement mid central-high front-back occurs on the horizontal or curvilinear plane of the roof of the mouth. (pp. 249–250)

A logical conclusion that one can draw from this comment is that, if the lexical movement (i.e. the movement of the represented phenomenon) were curvilinear, Epstein's analysis would hold water. Or, conversely, if the movement of the tongue were (more) vertical, say, were from 'low front' to 'high front' to 'low front', Epstein's analysis would be (more) valid. This is a point that Fish apparently would not want to make.

Fish then shifts to a consideration of Epstein's interpretation, saying:

It is by no means obvious that the line expresses the relationship low-high-low; indeed it would make equal and better sense (and one in accord with Milton's practice elsewhere) to say that the movement described is from low (sunk) to lower (beneath) to lower still. (p.250)



But the question is: if Epstein's interpretation were accurate, would his analysis hold water? It should be clear that the crux of the matter does not lie in the relevant comparability or interpretative accuracy but resides, instead, in the conventional relation between the form and the content involved.

The point that I have been driving at so far is that linguistic form takes on literary function **only through** its basic psychological effect on the reader and, more importantly, that the objectivity of the correlation between linguistic form and literary significance is contingent upon the **essential** (vs. superficial) distance or similarity between the linguistic form's basic psychological value and the thematic value taken on by the linguistic form in a given literary context.

In fact, the two types of similarity examined above – one as shown in Cluysenaar's analysis, the other as displayed in all the other analyses referred to – can be generalized to subsume most, if not all, such relations in stylistic analysis. I have already touched on the basic difference between the two types: in the former type, there is no essential or conventional link between the two kinds of value involved, since the linguistic form does not, according to convention, have to do with the thematic value. In this type, while the basic psychological value serves, by virtue of some form of resemblance or association, to correlate the linguistic form with its thematic value, the thematic value is largely to be accounted for by the given literary context (the surrounding linguistic features), by the developing literary interpretation in the light of which the linguistic form is viewed.

In the latter type, by contrast, there exists an essential or conventional link between the two kinds of value involved in that the linguistic form is associated through convention with the thematic value. Of the two determining factors which operate here: a) the linguistic form and its basic psychological value and b) the literary context, the former has a greater role to play than its

counterpart in the preceding type. As a rule, the shorter the (essential) distance between the basic psychological value and the contextual thematic value, the greater the determining force comes from the linguistic fact as opposed to the given literary context.

Now, let us consider one further case, taken from Widdowson (1975) who, commenting on the following verse from Tennyson's In Memoriam:

He is not here; but far away  
The noise of life begins again,  
And ghastly thro' the drizzling rain  
On the bald streets breaks the blank day.

says:

the monosyllabic structure of the words in the last line and the alliterative pattern they form reinforce the semantic import of the words as lexical items. The desolation that Tennyson feels is conveyed by the sound of the last line as well as by what the words themselves mean. (pp.36-7)

The relation here between the phonological pattern's basic psychological value and its thematic value belongs to what I have classified as the 'former' type. According to convention, the monosyllabic nature of a line of words does not have anything to do with 'desolation', though it does give, by relation to a line of disyllabic or polysyllabic words, the feeling that each syllable stands on its own, unconnected with each other. In the present case, the analyst's intuitive leap from the basic psychological value to the thematic value rests, apart from the perceptible 'parallel' between the two, entirely on the literary context; it is not in any way determined by the conventional use of the linguistic form.

It will be recalled that, in the last chapter, attention was directed to the underlying convention that there is expected to be a 'parallel' which serves to correlate the linguistic form (or formal pattern) with the significance involved. By now, it should be clear that the 'parallel' in question is in effect a quite



variant entity. In what I have classified as the former type (which occurs most frequently in poetic analysis, particularly in the area of phonology), the 'parallel' is a matter of superficial resemblance (like the resemblance in form between the monosyllabic nature of a line of words and the feeling of desolation) or a matter of an unconventional 'cue' for subjective association (like syntactic incompleteness leading to the feeling of 'being short of time'). Here the two elements involved – the form of language and the significance – are **conventionally irrelevant** to each other and, therefore, might not, despite the 'parallel', be related in the given literary context (the resemblance might be, as in conventional use, merely accidental; the 'cue' might be only private). The lack of conventional grounds points to the relatively great indeterminacy as well as subjectivity of the correlation involved. Without any conventional ground (what is in question is of course merely linguistic convention), the analyst can only base his claim on the grounds of the contextual prominence of the linguistic form or formal pattern, of the contextual impact of its psychological effect, of the shared intuitive response to the form or pattern in the particular context (cf. Attridge, 1982:287ff.).

In what has been referred to as 'the latter type' (which occurs more frequently in the analysis of prose-fiction or in the area of lexis, syntax, modes of speech), the 'parallel' is, by contrast, a link based on convention. In Leech and Short's analysis of the sentence by Steinbeck quoted above, the correlation between the subordinate clause and its literary significance is based, to a certain extent, on the conventional value of the linguistic form as opposed to superficial similarity. The basic psychological value here (i.e. psychological obscurity) through which the linguistic form functions can be regarded as a conventional value basis for contextual association. Indeed, one can treat the literary significance as a contextual extension of the form's conventional value.

The case will be even more apparent if we come to the area of lexical

expression. To quote a few lines from Kennedy's analysis of a passage in Joseph Conrad's The Secret Agent:

... we are not told 'Mrs Verloc took the knife', nor even 'her hand took the knife', but 'her hand skimmed...the table...the knife had vanished...'. The reader is left to make the connection between the two actions, and this has the effect of 'distancing' Mrs Verloc from her own actions. It is as though her hand has a force of its own, detached from Mrs Verloc's mental processes. We are told the fact that the knife vanished but not the cause of its disappearance. (1982:89)

Clearly, the effect of 'distancing' Mrs Verloc from her own actions is a contextual extension of the conventional value associated with the chosen linguistic form.

It is clear that in this type, the correlation between linguistic form and literary significance is, on the whole, more objectively based than that in the preceding type. And since greater determining force stems from the linguistic fact itself, the correlation is more likely to hold true, up to a point, for similar linguistic features in other literary contexts.

Now, while having the intention to explicate what was in the last chapter left vague in terms of the correlation between linguistic form and literary significance, I do have in mind the fact that the present chapter is meant primarily for a consideration of the objectivity of the linguistic basis. I started my argument in this chapter by defining linguistic objectivity as conventionality and claimed that conventional linguistic elements are objective. But given the fact that, in stylistic analysis, the linguistic basis frequently consists of deviant rather than normal entities, we must (before coming to a central question 'Does interpretation produce linguistic facts?') consider the relation between deviation and objectivity.



### 4.2.3. Deviation and Objectivity

In English, that the symbol 'sun' refers to the burning star which the earth goes round is, by virtue of its conventionality, an objective linguistic fact. Against this norm, the deviant claim that 'nus' stands for the same object is seen to be subjective and is sure to be ruled out as a linguistic fact. But the impossibility of this case's becoming a linguistic fact does not in effect reside in its unconventionality but lies instead in our inability to locate this deviant case within the conventional semiotic system.

No one would, I believe, deny that the 'incomplete predication' involved in Cluysenaar's analysis forms a linguistic fact, although it is a deviation from the norm. The deviant case here is given a place in the conventional system by being defined in relation to the relevant element (i.e. what is conventionally a complete predication) in the system. Indeed, the whole set of categories used to describe deviation, such as 'the breaking of selectional rules', all present attempts to define or determine deviant elements in relation to conventional elements upon which communication is based and upon which the deviant entities depend, significantly, for their own communicative function.

In effect, if a deviant entity is determined (or is determinable) in terms of in what sense and to what extent it deviates from the conventional element(s), it is located (or locatable) in the conventional system and forms, paradoxically, an objective linguistic fact.

Now, having made clear what constitutes objective linguistic facts and, further, what is truly involved in the correlation between linguistic fact and literary significance, we proceed to a consideration of the following question.

### 4.3. DOES INTERPRETATION PRODUCE LINGUISTIC FACTS?

That linguistic facts are themselves the products of interpretation is, as

quoted at the beginning of this chapter, the thesis of Fish's 'What is stylistics? Part II' as well as a major argument of his 'Interpreting the Variorum' and some other essays (see Fish, 1980). The concern of the present section is firstly to point out a theoretical deficiency underlying Fish's argument, namely, a failure to realize that language is a social/conventional reality. This deficiency has led Fish to take linguistic convention as interpretation, so that conventionally objective linguistic facts are wrongly treated as entities subjectively produced by interpretation. Secondly, along the same line of reasoning, it will be argued that the properties that formal patterns take on in literature are produced by literary conventions as opposed to interpretation.

#### 4.3.1. Linguistic Convention vs. Interpretation

In 4.1. attention was directed to the fact that language, though a subjective system of arbitrary relationships, constitutes, significantly, a social reality which, as distinct from the natural reality of the world, consists of conventional facts which members of the given speech community have to take for granted. Indeed, there is no reason why English should be made up of those forty-four phonemes; the existing phonetic system is no doubt an entity imposed by the perceiving or thinking self. But once established through convention, it becomes part of the social reality and exists independently of interpretation. Most certainly, the mental operations involved in establishing the social reality *per se* are to be distinguished from the mental operations involved in the interpretation of language events.

This basic distinction has, however, escaped the attention of Fish. After discussing the interpretation of some lines from Lycidas as an exemplification of how interpretative strategies 'produce' formal features in an interpretative event, Fish turns to a discussion of conventional linguistic fact *per se*. Quite unintentionally (I believe), the interpretation of language events is equated by



Fish with the convention involved in establishing the social reality itself, or vice versa. Here is some of Fish's discussion (see 1980:162-7):

in the analysis of these lines from Lycidas I did what critics always do: I 'saw' what my interpretive principles permitted or directed me to see, and then I turned around and attributed what I had 'seen' to a text and an intention. What my principles direct me to 'see' are readers' performing acts; the points at which I find (or, to be more precise, declare) those acts to have been performed become (by a sleight of hand) demarcations *in* the text; those demarcations are then available for the designation 'formal features,' and as formal features they can be (illegitimately) assigned the responsibility for producing the interpretation which in fact produced them. (p.163) This may be hard to see when the [interpretive] strategy has become so habitual that the forms it yields seem **part of the world**. We find it easy to assume that alliteration as an effect depends on a 'fact' that exists independently of any interpretive 'use' one might make of it, the fact that words in proximity begin with the same letter. But it takes only a moment's reflection to realize that the sameness, far from being **natural**, is enforced by an orthographic **convention**; that is to say, it is the product of an **interpretation**. Were we to substitute phonetic conventions for orthographic ones...the supposedly 'objective' basis for alliteration would disappear because a phonetic transcription would require that we distinguish between the initial sounds of those very words that enter into alliterative relationships; rather than conforming to those relationships, the rules of spelling make them. One might reply that, since alliteration is an aural rather than a visual phenomenon when poetry is heard, we have unmediated access to the physical sounds themselves and hear 'real' similarities. But phonological 'facts' are **no more uninterpreted** (or **less conventional**) than the 'facts' of orthography; the distinctive features that make articulation and reception possible are the product of a system of differences that must be *imposed* before it can be recognized; the patterns the ear hears (like the patterns the eye sees) are the patterns its perceptual habits make available. (p.166, my boldface)

It does not make sense to talk here about 'part of the world' or 'far from being natural'. In the linguistic domain, there is, as distinct from the domain of physics or chemistry, no natural but conventional entity. The very talk here about being 'natural' or 'part of the world' points to an unawareness of the fundamental difference between the natural reality of the world and the social reality of language, an unawareness which is further borne out by the equating of linguistic convention with the act of interpretation.

If one is to be true to the social reality of language where there is no natural but conventional fact, one has to abandon the distinction between natural/objective fact and interpretation and to take up instead the distinction between conventional/objective fact and interpretation (see 4.1.). Indeed, whatever mental operations are involved in its coming into being, the conventional English phonetic system forms an objective entity which exists independently of interpretation; similarly, however arbitrary are the conventional symbols, they constitute objective means of communication or, more to the point, objective objects of interpretation. The same applies to alliteration or other conventional linguistic facts.

Within this social reality, conventionality means rather than contradicts objectivity; and in this social reality, what conventionality contrasts with is nothing other than subjective (personal/idiosyncratic) interpretation. It is clear that the conventional acts of establishing the linguistic system *per se* are to be distinguished from the critic's interpretation of language events. The former is responsible for the establishment of the very 'reality' as such, i.e. responsible for the production of the 'objective objects' of interpretation. Quite contrary to Fish's thesis, I would assert that conventional linguistic facts are objective and that they are produced by convention as opposed to interpretation.

What we have here is in fact a three-level model:

- i) Linguistic Convention/Linguistic System      ii) Language Events
- iii) Interpretation

In simplest terms, linguistic convention establishes the linguistic system; cases of using this system form language events which in turn constitute the objects of interpretation.

Now, the language events that we are concerned with are actually literary texts or texts read/treated as literary works. The question arises: what



produces the properties that linguistic facts take on in literature? Fish's answer is 'interpretation' whereas my answer is literary convention as opposed to interpretation.

#### 4.3.2. Literary Convention vs. Interpretation

It is, I believe, the system of literary conventions which are constitutive of the institution of literature that permit one 'to convert linguistic sequences into literary structures and meanings' (Culler, 1975:114). Given that literary convention is much more easily mistaken as interpretation, it seems necessary, before we go any further, to make clear the basic distinction/relation between object and interpretation.

In the natural reality of the world, if one interprets a tree as a tree, it will not be claimed that one's interpretation has produced a tree but that one has recognized an external object (a tree) as a tree. Similarly, in the social reality of language, if one interprets the sign 'tree' as referring to the physical object involved, it does not mean that one's interpretation has produced the arbitrary relation between the sign and the physical object but that one has recognized the conventional relation between the sign and the symbolized object.

In the former case, interpretation involves differentiation between different natural objects; in the latter case, interpretation involves, by contrast, not only differentiation between the different conventional signs but also assimilation of the various conventional/objective relations between sign and meaning. When one interprets the sign 'tree' as referring to the physical object involved, one is merely having a mental representation of an assimilated conventional/objective relation, a relation which is produced by convention and which exists independently of one's interpretation. If, however, one interprets 'tree' as referring to what is usually called 'table', this relation between sign and meaning is, by contrast, a product of one's interpretation.

This distinction tends to blur when it comes to literary convention. Compared with linguistic conventions, literary conventions are much vaguer (in the sense of being much more general as well as implicit) and much more susceptible to change. As distinct from the fairly stable and specific conventional relations obtaining in the linguistic system, there are, in the institution of literature, no definite, specific conventional ways of converting linguistic sequences into literary structures and meanings.

But vague and general as they are, the system of literary conventions are to be granted the (public) properties which texts take on in literature. Indeed,

when one reads the text as a poem new effects become possible because the conventions of the genre produce a new range of signs. (Culler, 1975:162)

The point to notice is that literary conventions contrast with and exist independently of an individual reader's interpretation. If one, in interpreting a text, abides by the set of relevant literary conventions (which one has assimilated), one is in a position to produce some acceptable interpretation. If, by contrast, one does not abide by them, the resultant interpretation is very probably idiosyncratic or unacceptable to other (competent) readers.

At this point, we may bring in Fish's notion of 'interpretive communities'. Fish writes,

it is interpretive communities, rather than either the text or the reader, that produce meanings and are responsible for the emergence of formal features. Interpretive communities are made up of those who share interpretive strategies not for reading but for writing texts, for constituting their properties. (1980:14)

If Fish's notion of 'interpretive strategy' involves confusion (its referents vary, as indicated above, from linguistic convention to the critic's interpretation), his notion of 'interpretive community' is a no less mixed concept. On the largest scale, Fish's 'interpretive community' refers to one critical approach (Fish's own



'affective stylistics' or, by analogy, traditional criticism or stylistics); on the smallest scale, it refers to 'two or more readers' who share the same interpretation (see 1980:171). That is to say, Fish's 'interpretive communities' stands for different critical approaches or persuasions within one approach, or even smaller groups which operate within the same institution of literature. It seems to me that the interpretative communities as such differ from each other mainly in critical assumptions or procedures over and above literary conventions which obtain in the larger literary institution. This makes it possible for, say, stylisticians and literary critics, who approach the text from different perspectives, to agree on the same themes.

The point to notice is that, as parts of the same speech community, the different interpretative communities have to abide by the same linguistic conventions which produce objective linguistic facts. Moreover, as parts of the same literary institution, the different interpretative communities have to abide by the common literary conventions which obtain in the institution as a whole.<sup>2</sup> Quite contrary to Fish's thesis, I contend that (public) textual properties are constituted by linguistic and literary conventions as opposed to the interpretative strategies **peculiar to** 'two or more readers' or to a given critical approach.

In fact, the sequence of words which make up the text are usually chosen by the writer on the grounds of the conventional relations between words and meaning (as noted earlier, the literary writer's creative exploitation of the conventional linguistic system frequently takes the shape of deviations from the norm or of unique combinations of linguistic elements). The text thus formed invites, or rather requests, the reader to bring into play the relevant conventions (specific or general) which the reader has assimilated. If one does not abide by the relevant conventions that obtain either at the time the text is written or at the time of the interpretative act, the result is very probably an

idiosyncratic interpretation or a misinterpretation (as already noted, since literary conventions are vague and general and since literary, particularly poetic, meaning is often encoded in an unconventional way, a certain degree of indeterminacy is expected). It is clear that the text does exist independently of interpretation and that it forms an **object** rather than a product of interpretation.

Two things must be noted here. First, I do not mean to suggest that the reader has only a passive role to play. Given that literary conventions are vague and general and given that what those conventions involve is one's moral, psychological, artistic sensitivity or one's intuitive leap from linguistic sequences to literary structures and meanings, one is called upon to play the role of an **active** interpreter. This is particularly so in modern experimental works where the reader is called upon to fill in various gaps or to make sense of deviant elements frequently encountered in the text. Greater indeterminacy is expected here, but such processes of 'filling in gaps' or of 'making sense' are still governed, to different extent, by various conventions. Secondly, conflicting ideologies, rivalling religious beliefs, or different personal experiences are sure to bear, in varying degrees, on the interpretative act. But these variables serve to account for the distinction between readers or between groups of readers (see Culler, 1982:68), who interpret the **same** text.

Interestingly, in arguing that 'linguistic and textual facts, rather than being the objects of interpretation, are its products', Fish comes to the point of nullifying the creative efforts made by authors. Fish writes,

the answer to the question 'Why do different texts give rise to different sequences of interpretive acts?' is that *they don't have to*, an answer which **implies strongly that 'they' don't exist**. Indeed, it has always been possible to put into action interpretive strategies designed to make all texts one, or to put it more accurately, to be **forever making the same text**. Augustine urges just such a strategy, for example, in On Christian Doctrine where he delivers the 'rule of faith' which is of course a rule of



interpretation. It is dazzlingly simple: everything in the Scriptures, and indeed in the world when it is properly read, points to (bears the meaning of) God's love for us and our answering responsibility to love our fellow creatures for His sake. If only you should come upon something which does not at first seem to bear this meaning, that 'does not literally pertain to virtuous behavior or to the truth of faith,' you are then to take it 'to be figurative' and proceed to scrutinize it 'until an interpretation contributing to the reign of charity is produced.' This then is both a stipulation of what meaning there is and a set of directions for finding it, which is of course a set of directions – of interpretive strategies – for making it, that is, for **the endless reproduction of the same text.** (1980:170; my boldface)

Fish's discussion here is apparently a play on abstraction. One can comfortably claim that most novels depict human life but this does not make the novels concerned the same novel: they differ in terms of the aspects of human life depicted, in terms of characters, plots, or in terms of choices of words, syntax. Indeed, if one is objective, one will surely acknowledge the existence of the different texts which are carefully wrought out by different writers and which embody those writer's creativity and artistic achievements.

#### 4.4. A CONSIDERATION OF 'WHAT IS STYLISTICS? PART II'

Having made clear the nature of the text and, prior to that, the correlation between structural feature and psychological value and literary significance, we now come to a consideration of Fish's 'What is stylistics? Part II'. As distinct from its predecessor considered in the last chapter, the focus of the charge here falls, as quoted at the beginning of this chapter, on the linguistic basis itself. Our discussion of this charge by Fish attempts to shed some further light on the degree of objectivity in stylistic analysis and, in a broader sense, on the nature of stylistic analysis as a whole. To avoid repetition and to save space, attention will be focused here on one most immediately relevant issue, namely, the relation between theme and formal patterns.

Stylistic investigation of the relation between theme and formal patterns (in monological literary discourse) is based, as discussed above, on the assumption of thematic unity of form and content, the assumption that linguistic form is manipulated by the writer to reinforce or contribute to the theme. Given such a thematic relevance or orientation, stylistic analysis, as Norman Macleod says,

is *not* achieved 'in the dark', in the sense that it is an analysis innocent of prior or concurrent interpretation. Quite the contrary, in fact, since we are not at one moment doing stylistic analysis, and at another doing literary criticism: instead, we are doing the same complex thing all the time, sometimes expressing it analytically, sometimes impressionistically. In a sense, our intuitive impression of the literary 'flavour' of the passage is our first guide to finding the elements which contribute a linguistic 'savour' to the passage... (1985:122)

This observation points to the important concept that formal patterns which are thematically-motivated are identified or identifiable only in the complex reading process, in the light of prior or concurrent interpretation (see above).

In 'What is stylistics? Part II', an example that Fish singles out to criticize in terms of the correlation between theme and formal patterns is Keyser's analysis of 'Anecdote of the Jar' by Wallace Stevens. As distinct from other stylisticians who try to identify thematically-motivated formal patterns, if any, in the complex reading process, Keyser goes about analysing the structure of the poem first and only then tries to find an interpretation compatible with the established formal pattern, as reflected in the following observation:

If...there exists a relationship between form and meaning in this poem, it should be possible for us to find an interpretation congenial to the structure that we have already established... (1981:110)

Such a procedure in which the linguistic analysis is done 'in the dark' or on its own is surely highly problematic. The structural property in question is



phonological, principally, simple variation on the syllable round: 'round', 'surround', 'around', 'round' again, and 'ground'. As noted in 4.2.2, phonological pattern usually does not, according to convention, have to do with sense (with, of course, the exception of onomatopoeia). The variation on the syllable 'round' in the present case can, at least hypothetically, be merely accidental: these words chosen by the writer happen to have those sounds which happen to fall into a pattern. Indeed, even rhyming or alliterative pattern, though deliberately worked out, may not have to do with sense. Keyser's conclusion that 'The actual phonological shape of the property of the jar which, in English, takes the form of the word *round* imposes an order on the poem just as the semantic property 'round', which the jar possesses, imposes an order on the wilderness' is one based on superficial similarity between the phonological pattern and the meaning concerned. Although in such a case, as made clear in 4.2.2, the formal ground available is no other than or no more than superficial similarity, it is problematic that one takes on trust such superficial similarity alone, since it can be accidental. To avoid arbitrariness, one has to ground the analysis on the contextual impact of the formal pattern's psychological effect, on the shared intuitive response to the pattern in the particular reading context. If, in reading a poem, a phonological pattern gives rise to a thematically-related response, it is probable that the pattern is encoded by the writer to reinforce or contribute to the theme; if, however, a phonological pattern does not in the reading process give rise to a thematically-related response, there is no reasonable ground to claim the correlation between the formal pattern and the theme concerned, even though there is some form of 'parallel' between the two. Keyser's procedure, in which a phonological pattern is established on its own and only then is an effort made to find a theme congenial to the pattern can easily result in a false correlation based on accidental similarity.

Given that Keyser's procedure here is at once problematic and, in a sense,

idiosyncratic, Fish's choosing it to represent stylistic analysis is clearly misleading. But some of Fish's criticism does bear on stylistic analysis in general. Fish writes,

The phonological shape of 'round' imposes an order on the poem only if you have already decided that the poem is about order. That is, the pattern emerges under the pressure of an interpretation and does not exist as independent evidence of it. In the event of a different interpretation, the pattern would be seen differently and be evidence in another direction. One might decide, for example, that the poem was about the many ways of viewing a jar (as in the thirteen ways of looking at a blackbird); it would then be a series of puns: the jar is round; it is also a round; it is a superround (*super* is the Latin for 'sur' and means over, above, and on top of); and as the focus of attention it functions as a g-round. In the context of this reading, the pattern of sound would reflect difference and variation rather than similarity and order. (p.253)

Given what was said in 4.2.2, it will be clear that phonological pattern, which is conventionally irrelevant to sense or theme, is in no position to function as independent evidence of a literary interpretation. In the case of a correlation between the two, the determining force is expected to come, apart from some form of 'parallel' between the two, largely from the particular literary context, from the developing literary interpretation in the light of which the linguistic form is viewed. But the important point to notice is that when we move into the area of syntax, modes of speech or, in particular, lexis, greater determining force is seen, often if not always, to come from the linguistic fact itself. In what I classified in 4.2.2. as 'the latter type' of correlation between linguistic form and theme, the thematic value frequently takes the shape of a contextual extension of the linguistic form's conventional value. In such cases, the formal pattern functions more or less as independent evidence of the interpretation concerned.

It will be recalled that at the beginning of this chapter, I quoted the following observation by Fish:



formal patterns are themselves the products of interpretation and...therefore there is no such thing as a formal pattern, at least in the sense necessary for the practice of stylistics: that is, no pattern that one can observe before interpretation is hazarded and which therefore can be used to prefer one interpretation to another. The conclusion, however, is not that there are no formal patterns but that there are always formal patterns; it is just that the formal patterns there always are will always be the product of a prior interpretive act, and therefore will be available for discerning only so long as that act is in force. Or, to end with an aphorism: there always is a formal pattern, but it isn't always the same one.

What I find misleading here is that the role of interpretation is emphasized and magnified to such an extent that the role of formal pattern or the determining force of language is completely and unexceptionally submerged. The picture that I have been trying to represent is one in which both entities – a) the given context (or the developing interpretation in the light of which the linguistic form is viewed) and b) the linguistic choices concerned – operate as determining forces, sometimes with the former dominating the latter, but not infrequently with the latter playing a decisive role. Indeed, in many stylistic analyses, the linguistic choices concerned serve to contribute to or give rise to the literary interpretation in question, functioning in varying degrees as 'independent evidence' of the impressions or themes involved which are, in essentials, the effects of (or the responses aroused by) the writer's verbal choices. It is this determining force of textual facts, which underlies the objectivity of stylistic analysis, that is denied by Fish and that is argued for here and that will be further borne out by many analyses in the following part of the present study.

part two

applying stylistics to the translation of fiction



## CHAPTER 5

### THE PLACE OF LITERARY STYLISTICS IN THE TRANSLATION OF FICTION

The discussion in this chapter centres on the justification of and, particularly, the necessity for applying literary stylistics to the translation of prose fiction. Basically, three factors combine to make such an application necessary. The first is that general translation studies, which have received much impetus from recent developments in linguistics and some related disciplines, are seen to be insufficient when applied to the translation of literary discourse. The second, which is no less obvious, arises from within the theory and criticism of literary translation itself, where attention has been focused on poetry with little time spent studying the problems characteristic of the translation of fiction, particularly of the traditional realistic kind. The third factor, one that is more immediately relevant, is the fact that many specific problems posed by fictional translation, which may be subsumed under the heading 'deceptive equivalence', can be, and at present can only be, quite effectively solved by the introduction of stylistic analysis.

#### 5.1. THE INSUFFICIENCY OF GENERAL TRANSLATION STUDIES

By 'general' translation studies I mean translation studies that operate on the level of ordinary or natural language. During the past two or three decades, developments in the fields of transformational grammar, general and contrastive linguistics, semantics, information theory, anthropology, and psychology have exerted great influence on translation theory and criticism, enabling the discipline to broaden the areas of investigation and to offer fresh insights into correspondence or transference between linguistic and cultural systems (see, for instance, Rabin, 1958; Nida, 1964; Nida & Taber, 1969; Catford, 1965; Tan 1980; Newmark, 1981; Duff, 1981).

The traditionally-much-debated dichotomy between 'literal' and 'free' translation (see Steiner, 1975:236ff.; Kelly, 1979:205ff.) has been replaced by various linguistically-informed modern distinctions, like Nida's 'formal' versus 'dynamic' correspondence, Catford's 'formal correspondence' versus 'textual equivalence', or Newmark's 'semantic' as opposed to 'communicative' translation. In general, more attention has been paid to the translating process and greater emphasis placed on 'equal-response' of the target language reader (see D.Shen,1985). Such new perspectives on the theoretical front as well as the fairly extensive developments in specific interlingual contrastive studies have considerably promoted the understanding and mastery of the nature and skill of translation.

Given that literary translation primarily involves the transference of linguistic and cultural elements, developments in general translation studies are no doubt of relevance to a literary translator. But the point holds that this kind of study, which usually operates on the level of linguistic correspondence (including general stylistic norms), does not deal with problems intrinsic to or characteristic of literary discourse. One such problem, which is particularly significant in fictional translation, is how to make the appropriate choice(s) from grammatically correct 'referential equivalents' or 'stylistic variants' taking on different values or effects that tend to go unnoticed in ordinary discourse (see 5.2.2.2.). If finding a grammatically-acceptable referential equivalent for the original is a matter of linguistic competence, the choice of a stylistically-optimal correspondent depends, by contrast, primarily on the understanding of the nature and function of literary texts.

It seems that some translation theorists have rather naive notions about what literary style involves. In Alan Duff's The Third Language, the problem of register in literature is put on a par with that in non-literary writing. Duff focuses on the necessity of achieving consistency in register in translation,



illustrating this necessity by translations of both non-literary and **fictional** texts.

Duff contends that:

It would be a mistake, I think, to assume that only the literary translator is concerned with problems of style. Whatever discipline he may be working in ... he will have to decide on the *register* (formal-informal, official-unofficial) and to maintain this register **consistently throughout**. (1981:7; my boldface)

**every** text has a *register*, i.e. it is written at a level of formality or informality which is partly determined by the *reader* for whom the text is intended. (p.87; my boldface)

However, it would also be a mistake to think of the treatment of register in fictional translation as merely a matter of achieving consistency. Register in fictional discourse has to be seen as being of a more complex nature, and as integrated within the structure of the work. In many novels, variations in register operate to characterize different mind styles, to generate effects of parody or comedy, to convey the implied author's sympathetic identification or ironic distance and, not least, to indicate the mingling of voices or subtle shifts in point of view between various participants involved (see Fowler, 1977; Leech & Short, 1981; Bakhtin, 1981). Thus, rather than a superficial consistency in register (which a non-literary translator could be content with), a fictional translator would, or rather, should be concerned with thematically-motivated shifts in register, for it is in such deliberately-wrought variations that artistic significance inheres. In fact, many translation-critics are conscious of the essential difference in terms of style or expression between the translation of ordinary and literary discourse (see, for instance, Procházka, 1964; Popovič, 1970; Brislin, 1976; Cluysenaar 1976; Holmes, 1978; Bassnett-McGuire, 1980). Indeed, in contrast with a non-literary translation,

for a literary translation the criterion for the functional equivalence of its structural elements cannot lie in the linguistic system in its usual sense, as it will be determined by the specific regularities of structuring of the text as an artistic construct. If

the textual element of a literary translation is to possess a literary value equivalent to that of the original, a decisive part will be played by the functional equivalence of such categories as, for instance, the thematic means, the means to build up characters, contextual procedures, the prosodic elements in lyric poetry – all of them categories implying the notion of a literary tradition and aesthetic conventions which depend largely on historical and socio-cultural circumstances. (Broeck, 1978:39)

Apart from linguistic systems, in other words, literary translation also involves the encounter between literary polysystems and aesthetic conventions – including the conventions of artistic creation, of interpretation and criticism. In discussing problems concerning equivalence in translating poetry, Robert de Beaugrande justifiably draws a distinction between the general level (A) where one finds problems pertaining to 'the relationships within or between language systems' (a level 'that can be studied with the methods of linguistics and contrastive linguistics') and the more specific level (B) which 'contains the more specific properties of poetic use of language and can be studied with the methods of poetics and literary analysis' (1978:101). Now since linguistically-oriented general translation studies only deal with the basic level (A), they are apparently insufficient when applied to literary translation. It is true that there has been a substantial amount of research into the translation of literary discourse. But most attention has been focused on the translation of poetry with little time spent studying the problems characteristic of the translation of prose fiction.

## 5.2. CHARACTERISTICS OF FICTIONAL (VS. POETIC) TRANSLATION

This section directs attention to the fact that the problem of formal constraints, which has been much discussed in the criticism of poetic translation, does not, generally speaking, feature in fictional translation and, further, that the translation of fiction – particularly of the traditional realistic kind – presents its distinctive problems, many of which could be subsumed



under the heading 'deceptive equivalence'.

### 5.2.1. Less Formal Constraints

In the large body of work discussing the translation of poetry, the weight of the argument often bears on the difficulties posed by the transference of such conventional poetic devices as verse form, stanzaic patterning, metre, line length, or rhyme scheme. The preservation of such formal features – either by 'homologue' or 'analogue' (see Holmes, 1978:75)<sup>1</sup> – usually involves various losses or distortions of content (see Goodman, 1954:227; Savory, 1968:84; Nida, 1964:157). In fact, the constraint is not limited to the relation between form and content and may be found acting upon the association between formal devices themselves. More specifically, the choice of a particular corresponding formal device could render, as observed by Holmes (1978:76), correspondence for certain further formal features in the source-text unfeasible or even unattainable.<sup>2</sup> Thus it is not surprising that the English translations of Catullus' Poem Sixty-Four display seven different modes of presentation, namely, (a) Phonemic translation, (b) Literal translation, (c) Metrical translation, (d) Poetry into prose, (e) Rhymed translation, (f) Blank verse translation, and (g) Interpretation (see Lefevere, 1975); each mode is seen to overemphasize one or more elements of the poem at the expense of the whole (Bassnett-McGuire, 1980:82; cf. Goodman, 1954:227).

In connection with but distinct from this is the much-discussed formal constraint arising from the meaningful interaction between sound and sense, an element that features prominently in poetry as a genre and that significantly underlies the extreme difficulties of poetic translation (see Savory, 1968:77–8; Widdowson, 1975:36–7; Beaugrande, 1978:102).

When it comes to the translation of prose fiction, not only is a constraint of the preceding kind nonexistent, but also the constraint resulting from the

interaction between sound and sense is very much more limited (with some exceptions like Woolf or Joyce). It is obvious that rhythmic, phonetic, or phonological properties are much less essential to the genre of fiction. This is just another way of saying that a large part of the criticism of poetic translation does not apply to the translation of prose fiction, which – particularly the traditional realistic kind – poses its distinctive problems to the translator. Many of these problems could, I think, be subsumed under the heading 'deceptive equivalence'.

### 5.2.2. Deceptive Equivalence

While the distinction between scientific translation and poetic translation is undoubtedly clear, the distinction between scientific translation and narrative translation tends to be blurred by an inadequate awareness of the function of language in realistic fiction. If a translator is sure to take account of the aesthetic effects of language in a poem, when it comes to translating realistic fiction the translator is inclined to establish equivalence at the level of 'paraphrasable material content' (Bassnett-McGuire, 1980:115). This is hardly surprising since the writer's artistic manipulation of language in realistic fiction is much less obtrusive than in poetry; and also since the isomorphic relation between the fictional world and the real world, allied to the resultant suspension of disbelief, can easily lead the translator to focus on the represented events or characters and to overlook the artistry involved in the use of the medium.

Such a neglect of the novelist's artistic manipulation of language is also found in some literary critics, as demonstrated by Philip Rahv's statement:

All that we can legitimately ask of a novelist in the manner of language is that it be appropriate to the matter in hand. What is said must not stand in a contradictory relation to the way it is said, for that would be to dispel the illusion of life, and with it



the credibility of fiction. (1956:297)

This view misleadingly confines aesthetic significance in the novel to the portrayed fictional reality and does injustice to many great realistic writers (like those referred to in the following analysis) who are distinguished not only 'by a vital capacity for experience, a kind of reverent openness before life, and a marked moral intensity' (Leavis, 1948:9) but also by their skilful manipulation of language for aesthetic effects or by their use of language to create a certain texture and tone which serve to reinforce or modify themes and meanings. In translating Jane Austen, for instance, if one fails to capture the impact of her voice as conveyed by her subtle linguistic choices, there is sure to occur the loss of a substantial part of her artistry (for exemplification, see 6.1.1.).

It is worth noting that, as far as a reader is concerned, even if he does not pay special attention to the effects of the writer's style, he could still be affected, though perhaps only unconsciously, by the writer's stylistic or rhetorical devices during the process of extracting the fictional reality from the linguistic medium. But if a translator does not consciously take account of such devices, he is bound to fail to represent them in the target language. Thus various kinds of deceptive equivalence may emerge in narrative translation, which convey approximately the same fictional 'facts' but fail to capture the aesthetic effects generated by the original author's formal operations.

As already noted, 'deceptive equivalence' in narrative translation also occurs at the level of fictional 'facts', taking the shape of distortion of fictional reality which is mistaken by the translator as some form of equivalence. Theoretically, the boundary between the two kinds of deceptive equivalence in question is quite clear: one kind affects the represented fictional 'facts' while the other only bears on the formal operations over and above the experience depicted.

But in actual cases, one may find ambiguity or indeterminacy concerning which of the two dimensions of narrative structure is involved (for exemplification, see the following chapter). Yet despite this tendency to overlap in practice, I would like to discuss the two kinds of deceptive equivalence separately, so as to see things in a clear theoretical perspective. (As this is only a preliminary theoretical discussion, some statements may be found rather vague, but they will be duly substantiated and clarified by the following practical analysis.)

#### 5.2.2.1. At the level of fictional 'facts'

Linguistically, this could be taken as the level of mere sense or the referential use of words. The stylistic interest here comes from the aesthetic motive underlying, or the aesthetic effect pertaining to, the novelist's creation of fictional reality *per se*

The deceptive equivalence in some cases can be accounted for on the one hand by what I consider 'conceptual deviation' found in the original (i.e. violation of the relevant stereotypic conceptual frames in the translator's mind concerning human characteristics or behaviour under given circumstances)<sup>3</sup> and, on the other, by the translator's failure to realize the larger structural or thematic functions of the fictional 'facts' involved (see 6.1. particularly 6.1.4.). What frequently happens is that the translator alters the fictional 'fact(s)' according to his normal or conventional ways of conceiving things, probably with the assumption that his rendering, which appears to him to be more logical or sensible than the original in the immediate context, is what the author ought to have said, but failed to say, and so is therefore a reasonable form of correspondence to the SL text. Although strictly or locally speaking, this is a matter of the translator's falling short of the novelist's 'capacity for experience', it is in effect, on a larger structural scale, frequently a matter of the translator's failure to realize the function of the narrator's withholding



information, suppressing explanation or immediate contextual substantiation: factors which make for 'conceptual deviation' as such. As will be revealed by the analysis below, 'conceptual deviation' of this kind may have a significant role to play in characterization or plot construction, giving rise to desirable stylistic effects such as irony, intensity or suspense: effects which regrettably disappear in the process of the translator's 'normalization'.

In fictional translation, the translator's emotional involvement – typically with certain characters – may also lead to deceptive equivalence at this level. Interestingly, the alteration of fictional 'facts' here, which is characteristically motivated by 'practical interests' coupled with 'primacy effect' (6.2.), is usually carried out quite unconsciously (hence **deceptive** equivalence). In such cases, while the translator's emotional involvement constitutes the primary factor, his inadequate literary competence (in terms of, say, his familiarity with the relevant novelistic conventions or his ability to perceive the larger structural or thematic functions of the fictional 'facts' involved) may also have a significant part to play. In 6.2., we shall examine in some detail the causes underlying, and the aesthetic losses resulting from, the translator's distortions as such.

Earlier, I made it clear that, in discussing deceptive equivalence, I do not concern myself with errors caused merely by inadequate linguistic competence (which is the concern of general translation studies) and I have been focusing on factors over and above that level: failure to realize the structural or thematic functions of the fictional 'facts' involved, normal or conventional ways of conceiving or perceiving things, and emotional involvement. But in some special circumstances, the issue may be complicated by 'traps' laid by differences in linguistic conventions between source language (SL) and target language (TL). We shall see, in the last but one example in 6.3., how deceptive equivalence is caused by a joint function of the translator's lack of awareness of the intended dramatic irony and his failure to detect a trap associated with

the frequent omission of subjects and determiners peculiar to Chinese.

Before turning to the level of the narrating discourse, I would like to bring in one aspect of fictional reality, namely, the speech and thought proper of characters, which differs fundamentally from the rest of the purported reality in that it is in itself verbal.<sup>4</sup> In this area, deceptive equivalence may arise at two contrastive levels. One is the level of mere sense, where deceptive equivalence typically takes the shape of the translator's regrettable normalization of certain illogical or unreliable elements in the original speech or thought; elements deliberately encoded by the author for given purposes of characterization (see 6.1.3.). But more often, deceptive equivalence in this verbal reality arises paradoxically at the level of linguistic form. Now, as far as 'monologic' fiction is concerned, artistic significance in this verbal reality inheres very much in the novelist's successful differentiation between speech (or thought) types or idiolectal features (like the crude distinctions between formal and informal, vulgar and elevated, or simple and sophisticated) as a way of creating different 'objectivized and finalized images of people' (Bakhtin, 1973:150). Being a matter of linguistic differentiation in terms of, say, register or dialect, it is only natural that the artistic significance here lies in the choices of given linguistic forms as opposed to others which convey approximately the same cognitive meaning (but one needs to bear in mind that, in this verbal reality, the change from, say, a character's informal expression into a more formal one is an alteration of the experience depicted). Basically, the translator's successful representation of this verbal reality in TL depends on i) his ability to differentiate the diversified speech or thought types both in SL and TL and to determine the general or specific correspondences between them; ii) his understanding of the relation between the chosen speech or thought type and the given social or thematic role(s) of the character; and iii) his grasp on every single occasion of the relation between the characteristics (if any) of the character's speech or



thought and the particular situation in which the linguistic expression is found. If the translator falls short in any aspect, he can easily produce cases of deceptive equivalence, which convey approximately the same cognitive meaning but fail to correspond to the particular speech or thought type chosen by the original author, leading as a consequence to various losses of the function of the original speech or thought in terms of characterization. In the following practical analysis, I shall only touch occasionally on this verbal reality but I shall devote a whole chapter to the formal operations carried out on it, i.e. to the different modes of speech and thought presentation.

#### 5.2.2.2. At the level of the narrating discourse

At this level, we are concerned with the authorial (and/or the dramatized) narrator's formal operations carried out on the purported fictional 'facts', or, to put it another way, with the writer's exploitation of the resources or advantages of the linguistic medium in the representation of fictional reality (see note 5). As far as the 'monologic' novel is concerned, the relation between fictional reality and formal operations as such is essentially a relation between fictional reality and the bearing brought on it by the all-encompassing authorial consciousness (in all types of narration). While fictional reality is in itself objectivized, represented by the implied author to fulfil certain thematic purposes, the way that linguistic form is manipulated to reinforce or modify that reality is a way of conveying the authorial vision of that reality (either directly or derivatively as in the case of first-person narration) and a way of making that reality function more effectively in the thematic unity constituted according to the author's artistic design (see 7.5.).

In monologic realistic fiction, deceptive equivalence at this level usually, as noted above, takes the form of cases which convey approximately the same fictional 'facts' but fail to capture the aesthetic effects generated by stylistic or

rhetorical devices in the original. The true equivalence that one should aim for here is 'functional equivalence' (which conveys similar aesthetic effects of both content and form) or 'expressive identity' (see Bassnett-McGuire, 1980:25). But once we go beyond the solid ground of fictional 'facts', the problems of determining translation equivalence begin to emerge. Indeed, in the translation of realistic fiction, questions as to what constitutes a free variation on the original and what involves stylistic losses are more difficult to deal with than either in the translation of news report (where any version which conveys approximately the same amount of information with an acceptable style may be regarded as a translation equivalent) or in the rendering of poetry (where stylistic losses are often more detectable).

It seems to me that, in determining functional equivalence in monologic realistic fiction, the following two closely related aspects deserve particular attention: one is the authorial vision, stance or point of view; the other is the function of the linguistic form in the thematic unity of the work. Now, in order to see things in perspective, we may make a comparison in terms of these two aspects between news report and monologic realistic fiction. In the case of news report, the reader, whose purpose is usually to extract information, does not purposefully seek the vision, stance or point of view of the reporter (who is expected to give a neutral description of the actual happening in a language as transparent as possible). In the case of a monologic novel as a work of art, however, the reader is constantly seeking the author's (or narrator's) vision or viewpoint which **takes on aesthetic significance**; which forms a crucial guide for the reader's interpretation;<sup>6</sup> and the **search** for which constitutes an essential part of the reading activity.

Since, in describing the same event, the difference in point of view between different encoders lies in the different choices of linguistic form at the level of the narrating discourse, in the case of news report where the encoder's point



of view does not really count, the difference between, say, surface syntactic choices may well be overlooked. But precisely for the same reason, the differences in choice between linguistic forms matter a great deal in monologic fiction. Thus, given the two different surface choices: 'after doing X, he did Y' and 'he did X and then did Y', one may find both forms equally acceptable in the translation of a news report. In the translation of fiction, by contrast, one surface choice may be found more suitable than the other in that the difference between the two in terms of the narrator's viewpoint (emphasis; given vs. new; foregrounding vs. backgrounding) may bear on narratorial stance, on characterization, or on the thematic function of the events depicted. In 7.3. Syntax and Prominence, the stylistic losses found in the examples analysed are all largely attributable to the translator's alteration of the authorial or dramatized narrator's viewpoint by virtue of unsuitable surface syntactic choices, which do not bear on the fictional 'facts' depicted and which may well go unnoticed in the translation of a news report.

Much more notable is the difference between news report and fiction in terms of the writer's irony or sympathy. In fictional discourse, the authorial irony or empathy, conveyable through choices, say, between words (6.1.1.) or between modes of speech (8.6.2 – 3), constitutes an important dimension of the narrative structure, playing a positive role in shaping the characters concerned (who are in themselves a creation of the writer's imagination). Indeed, the fictional reader, whatever his political beliefs, is conventionally expected to share – perhaps only in the process of reading – the author's irony or sympathy (cf. W. Booth, 1961:137ff.). The translator's failure to use functionally-equivalent linguistic means to carry over the authorial stance may, as illustrated in 6.1.1., lead to significant stylistic losses. By contrast, in the case of news reporting whose function is to communicate actual happenings (although, influenced or controlled by given ideologies, newspapers can distort

facts), the reporter's irony or sympathy is not supposed to come into play; and if it is brought into play through certain choices of linguistic form, the translator will probably either overlook it or justifiably reject it. For, while such tonal property is undoubtedly significant in revealing the political stance of the reporter or newspaper, it may not be of significance to the translator whose aim is usually to provide a piece of news for the general public in TL rather than to demonstrate the political character of a given reporter/newspaper for some special purposes.

Interestingly, in fictional discourse, the authorial or narratorial vision as embodied by given choices of linguistic form tends to superimpose an additional meaning – either imitative or contrastive – on the fictional reality depicted (see 7.5.). In the contrastive cases, there is usually found an attempt to use the value of the linguistic form(s) to 'shape' (vs. to imitate) fictional reality for certain thematic purposes (7.5.2.). This additional meaning, or the imitating or 'shaping' effects as such, which pertain to the level of the narrating discourse, may well be suppressed in the case of news report where the reader/translator's interest is usually limited to the narrated story and where the narrating discourse does not really count.

In fact, underlying the aesthetic significance of the narrating discourse characteristic of fiction is, among others, the convention of thematic unity of form and content, or more specifically, the convention of using linguistic form to reinforce or modify meanings and themes. With such conventions, it is natural for the writer to use the narrating discourse as semantic reinforcement or modification of the narrated story; and with such conventions, the reader is apt to look for thematic effects or values in the writer's choices of linguistic form. Thus, if a novelist uses the mode of direct speech instead of indirect speech, the fictional reader would consciously or unconsciously search for the underlying authorial intention in terms of characterization, for the possible



connection between this choice of form and the role or attitude of the character concerned (see 8.4.2.). But if a news reporter uses the mode of direct speech instead of indirect speech, the reader is unlikely to try to find out the mode's thematic value or its function in characterization. Now, given the following fictional sentence and Leech and Short's comment:

Curley's fist was swinging when Lennie reached for it.  
(John Steinbeck, Of Mice and Men, Ch. 3)

The second clause of this sentence describes the turning point in the fight between Lennie and Curley, and yet Lennie's action is backgrounded by its subordinate status. On the face of it, Steinbeck would have done better to write something like: 'As Curley's fist was swinging, Lennie reached for it.' But what he did write fits in very well with his overall strategy in the novel, that of absolving Lennie of responsibility for his actions. By downgrading Lennie's part in the fight, he makes it seem an inadvertent and blameless reaction to Curley's onslaught.  
(1981:221)

what motivates and justifies the critics' treating the surface syntactic choice as a device with desirable artistic value is surely the convention of thematic unity of form and content or the aesthetic significance endowed by convention on the narrating discourse in fiction. If the same linguistic fact is found in the context of news report, it is likely to be treated either as a coincidental formation or as an unsuitable choice (made by a biased reporter), since the conventions operating here pre-ordain that the reporter's point of view does not take on aesthetic significance; that his narrating discourse should not colour the narrated story; that the reader concentrates on the information conveyed. Indeed, in the formal cases analysed in the following chapters, most, if not all, of the negative renderings, which involve various stylistic losses in the fictional context, would seem to be quite acceptable in the context of news report.

What we have here is an essential difference in the function of linguistic

form between literary and ordinary discourse. Given the same linguistic form or pattern, its stylistic values become functional in fictional discourse but tend to be dormant in non-fictional discourse.

Although focusing on the difference in the function of the writer's (or narrator's) point of view between news report and monologic fiction, I have already touched on the difference between the two in terms of the structural or thematic function of linguistic form. As distinct from a news report, a work of monologic fiction is marked by a thematic unity deliberately wrought according to the author's artistic design. The constituent parts form objectivized means used to generate thematically-related effects; that is to say, their functions are determinable only in relation to the total structure of the work (see Kroeber, 1971:24-5). This forms a contrast to a news report whose constituent part is responsible only to the specific event(s) involved.

The thematically-unified structure characteristic of monologic fiction is surely a significant factor that conditions the author's ways of manipulating linguistic form. Given the thematic unity as such, it is not surprising to find in a novel a motif in the shape of the consistent use of a linguistic form (or pattern) over a long stretch of the text. In John Fowles's The Collector, for instance, the contrast between the inferiority of the kidnapper and the dominance of the kidnapped girl is continuously reinforced by the contrast between the former's free direct speech and the latter's direct speech (the mode of direct speech, with the inverted commas serving as invitations to an auditory experience, functions to strengthen the auditory impact of the speech - cf. 8.4.2.). More frequently found is the motif in the shape of the recurrent use of a given word or an expression. A case in point is John Galsworthy's repetitive use of 'dew(y)' in The Apple Tree to describe the eyes or face of the protagonist Megan, as a way of symbolizing the purity of the character and the fragility or transiency of the love relationship between Megan and Ashurst (see



Zhu Chunshen, 1986). Failure to realize the thematic relevance of the motif has led two Chinese translators to replace some occurrences of 'dew(y)' with synonymous expressions for the purpose of elegant variation, thus impairing the symbolic meaning or the thematic values of the original formal pattern (see Zhu Chunshen's analysis). Clearly, to avoid such cases of 'deceptive equivalence' in fictional translation, the translator needs to judge the function of the linguistic forms concerned in relation to the thematic unity of the work (see the last example in 7.3.).

The necessity of taking account of the total structure of the fictional text in the translator's choices of linguistic form has been stressed by Bassnett-McGuire (1980:110-8) whose analysis reveals that, if the translator renders the opening passage of a novel without relating it to the overall structure, he runs the risk of producing what we consider deceptive equivalence, where the paraphrasable content is translated 'at the cost of everything else' (p.118; see the second example in 7.5.1.). It will have become clear that the implied author's (or dramatized narrator's) stance/viewpoint and the structural or thematic function of the linguistic form are two significant criteria for determining deceptive equivalence at the level of the narrating discourse.

Now, because of the differences in linguistic and literary conventions, different languages have different stylistic norms or means; the same linguistic form, that is to say, may have different expressive values in different languages (see Broeck, 1978; Popovič, 1970). Further, the differences may be complicated by the fact that the source text is often not contemporary. When confronted with such differences, the translator's task is essentially to match the intended stylistic effects in SL with functionally-equivalent, though formally-different, linguistic means in TL. Failure to do so can easily make for deceptive equivalence with various stylistic losses. In terms of the translation between

Chinese and English, the differences in stylistic norms or means feature prominently in the area of syntax and of speech and thought presentation, which will receive detailed examination in Chapters Seven and Eight.

### 5.3. LITERARY STYLISTICS AND DECEPTIVE EQUIVALENCE

For anyone who is familiar with literary stylistics and who knows the poor state of the criticism of narrative translation, the necessity of introducing the values and emphases of literary stylistics into the latter area – as an effective means of dealing with deceptive equivalence as such – would be fairly obvious. The deplorably small body of existing work on narrative translation is marked by general and impressionistic comments on style (showing little or no concern with its thematic relevance) or by intuitive analysis with a notable lack of sensitivity to the subtle stylistic devices.

At the level of fictional 'facts', attention has been focused by and large on distortions caused by inadequate linguistic and/or cultural competence (typically in the shape of mistranslations of idiomatic expressions or syntactic errors). What I referred to as deceptive equivalence has hardly been discussed. As already noted, failure to realize the larger structural or thematic functions of the fictional 'facts' in the original constitutes a significant factor underlying deceptive equivalence at this level, a factor which could be effectively dealt with by stylistic analysis (an analysis characterized by close observation of the relation between the fact(s) and the surrounding linguistic and textual features). The basic task of the analysis here is to elucidate those functions in SL and the aesthetic losses in TL, as a means of enhancing one's awareness of the aesthetic motive underlying, or aesthetic effects pertaining to, the author's choices of fictional 'facts'. Despite the obvious difference in the data, the analytical rationale or procedure here is in essence quite similar to the stylistic analysis operating at the level of narrating discourse where the issue is the



relation between the author's choices of linguistic form and literary significance. Interestingly, because of the essential similarity between the analyses conducted at the two different levels, in intra-lingual stylistic analysis of narrative, the critic may also shift – probably quite unconsciously – from one level to the other (see, for instance, Kennedy, 1982). But of course, most attention in intra-lingual stylistic analysis is devoted to the level of the narrating discourse (also the choices of linguistic form in the verbal reality composed of character's speech, thought or mind-style).

It is at the level of narrating discourse that literary stylistics may contribute most to the criticism of narrative translation (the same applies to the verbal reality as such). Existing work in intra-lingual stylistic analysis has shed much light on the aesthetic significance of narrating discourse, on the thematic functions or effects of various subtle stylistic devices. In the field of narrative translation, there have been some stylistically-informed analyses of the transference of narrating discourse (see Procházka, 1964; Lodge, 1966:20–3; Bassnett-McGuire, 1980:109ff.), which display a descriptive precision and stylistic sensitivity (concerning syntactic form in particular) not found in traditional translation criticism. But such attempts are rare; and some subtle stylistic areas like modes of speech or thought presentation, which have been extensively investigated in Anglo-American stylistic analysis, have remained completely untouched in the criticism of fictional translation. In view of the fact that deceptive equivalence is on the whole unexposed (and therefore not consciously guarded against), constituting a great threat to the literary effects generated by the novelist's manipulation of the linguistic medium, there is surely an urgent need to make extensive stylistic analysis of deceptive equivalence as such. The major role of stylistic analysis is to sharpen the translator's sensitivity to the aesthetic function of linguistic form in narrative, helping the translator to produce functional equivalence rather than referential

correspondence with various stylistic losses.

Clearly, as distinct from a non-literary translator, a fictional translator needs to be equipped with adequate literary and stylistic competence. In the translating process, one must start with a detailed stylistic analysis of the original, trying to determine the aesthetic function of the individual component (be it a fictional fact or a choice of linguistic form) in the thematic unity of the work, otherwise deceptive equivalence may be unavoidable.



## CHAPTER 6

### ASPECTS OF LEXICAL EXPRESSION

In translating prose fiction, the translator's alteration of the original is, as a rule, most manifestly reflected in the area of lexical expression. In this area, what are most frequently subjected to change – a change that is often deliberate and almost invariably regrettable – take the shape of artistically or thematically motivated **deviant** choices of expression which undergo distortion primarily because they collide with the translator's normal or conventional way of conceiving, interpreting or presenting things. This chapter centres on the functioning of such deviant elements and on the losses or consequences brought about by the translator's alterations. The limitation of space permits me to deal with only a few aspects. Except for 6.2. 'Objectivity', the aspects discussed, which focus on 'illogical', 'unreliable' and 'redundant' elements respectively, seek to highlight deviation in certain of its most notable forms.

#### 6.1. DEVIATION IN THE FORM OF 'ILLOGICALITY'

If, in literary discourse, 'deviation' has become a favourable term, the word 'illogicality' remains unappealing in itself. But 'deviation', with its typical violation of conventional grammatical rules or of normal expectations, would seem to be a form of 'illogicality' in the broad sense of the word. This section is primarily concerned with 'illogicality' in a relatively strict sense. What distinguishes the present concern from the usual referent of the term – as signalled by the inverted commas in the title, the term is used here for want of a better word – is its underlying intentionality. Even if the illogicality involved is ascribable to the mind of a character, it is deliberately encoded by the author for aesthetic purposes, not to mention antinomy or paradox found in authorial discourse (see Knox, 1961; Cantrall, 1972; W. Booth, 1974). Given that

illogicality forms an area in which the translator is most ready to make corrections, many cases of artistically-motivated 'illogicality' are changed by the translator into some more coherent forms (the implication may be one of reading these cases as reflections against the original author), with the notable loss of stylistic or aesthetic values. Attention will be directed in this section to some such unfortunate transformations which may serve to highlight the point that, in order to avoid deceptive equivalence, a literary translator must be sensitive in detecting intentional 'illogicality' and in reconstructing its true meanings or purposes. Of the multi-dimensional effects generated by deliberate 'illogicality', we shall look into the effects of irony, authenticity, intensity and suspense.

#### 6.1.1. 'Illogicality' and Irony

'Illogicality' is often employed by novelists to create what is called 'stable irony' (see W. Booth, 1974). One way it effectively operates is shown by the following case taken from Jane Austen's Pride and Prejudice:

Mrs Bennet was in fact too much overpowered to say a great deal while Sir William remained; but no sooner had he left them her feelings found a rapid vent. In the first place, she persisted in disbelieving the whole of the matter; secondly, she was very sure that Mr Collins had been taken in; thirdly, she trusted that they would never be happy together; and fourthly, that the match might be broken off. Two inferences, however, were plainly deduced from the whole; one, that Elizabeth was the real cause of all the mischief; and the other, that she herself had been barbarously used by them all; and on these two points she principally dwelt during the rest of the day. (chapter 23)

What we have here is one of the innumerable ironic strokes found in Pride and Prejudice. The irony comes principally from the sharp contrast between the strictly logical progression (from 'in the first place' to 'fourthly') and the blatantly contradictory attitudes ('she persisted in disbelieving the whole of the matter' while 'she was very sure that Mr Collins had been taken in'). The stable



irony thus brought into being is heightened in part by the tension between the strongly affirmative 'persisted' and the no less affirmative 'was very sure' (compare: 'In the first place, she disbelieved... secondly, she said that...') and, further, by the quasi-logical expression 'Two inferences, however, were plainly deduced from the whole' which is in turn set in contrast with the mundane conclusions that follow.

In fact, right at the beginning of the novel, it becomes apparent that logic is not a strong point of Mrs Bennet, 'a woman of mean understanding, little information, and uncertain temper' (chapter 1). The faulty logic displayed here, coupled with the beguiling logical appearance which amuses a superior reader, is well expected from such a comic character as Mrs Bennet. But the case is much subtler than it appears. What is, in effect, the status of the ordinal numbers? Are they taken from within the character's speech or are they simply imposed on the character by the mocking authorial narrator? The mode of presentation here can be regarded either as one alternating between narrative report of speech act and free indirect speech or as consistent narrative report of speech act (see chapter 8). In the former case, the ordinals are attributable to the character, which effect is one of unconsciously superimposing logicity upon illogicality (unconscious for the character's part, of course; still purposeful on the part of the author). But if, on the other hand, the mode of presentation is taken as consistent NRSA, the 'logical markers', which invariably occupy the initial, thematic position of the clause, may well be attributed to the summarizing narrator. Thus, what we have is a sober, logical reporting voice punctuating, so to speak, an incoherent reported content, with the 'logical markers', which ostensibly seek to tidy up the character's speech, bringing into comic relief the disorder or absurdity involved.

If the basic feature of an irony is a contrast between a reality and an appearance (see Muecke, 1970:33), the contrast here is one between a beguiling

logical appearance imposed by the narrator and an illogical reality produced by the character. In the subtle fusion and yet unmistakable conflict between the two lies the author's satirical humour and the source of the reader's mocking amusement. This is the way in which the monologic author ingeniously passes her implicit judgement on the character and the way to establish secret communication between the author and the reader at the expense of a deserving character.

The dominant note of irony which is struck in the contrast between beguiling logicity and blatant illogicality or mundaneness has completely disappeared in one of its Chinese translations:

Zai Weilian jueshi meiyou gaoci zhiqian, Beina taitai jieli yazhi  
Before Sir William took leave, Mrs Bennet tried her hardest to control her

zijide qingxu, keshi, dang ta zoule hou, ta liji dafa leiting,  
feelings, but, soon as he left, she immediately flew into a rage,

qixian, ta jianshuo zhexiaoxi shi wanquanshi niezaode,  
at the beginning, she said firmly that the news had been completely

genzhe ta youshuo Gaolin xiansheng shangle tamende dang,  
made up, then she said that Mr Collins had been taken in,

ta duzhou tamen yongyuan buhui kuaile, zuihou ta you shuo  
she swore that they would never be happy, at last she said that

tamende hunshi bijiang poliewuyi. Ta feichang fennao,  
their marriage would certainly be broken off. She was very angry and

yifangmian ta zebei Yilishabai, ling yifangmian  
annoyed, on the one hand she blamed Elizabeth, on the other hand

ta aohui ziji bei ren liyongle. Yushi,  
she regretted that she herself had been used by others. Thus,

ta zhengtian xuxubuxiude shunma, wulunruhe ye buneng  
she kept on cursing for the whole day, there was simply no way

shi ta pingjing xialai. (tr. by Dong Liu, pp107-8)  
to appease her.

In this translation, the ordinal numbers are substituted by temporal adjuncts: 'in



the first place' by 'at the beginning'; 'secondly' by 'then'; 'thirdly' being simply omitted; and 'fourthly' by 'at last'. The picture that emerges is one of Mrs Bennet changing her mind as time goes by, which is not abnormal and which does not amount to illogicality (I shall come back to this). Furthermore, the quasi-logical 'Two inferences, however...', an expression that considerably heightens the ironic contrast, is totally omitted. In its place is found the addition 'she was very angry and annoyed' which is in perfect harmony with the mundane reality.

Behind the dominant contrast between a beguiling logical appearance and an illogical or mundane reality, there exist, in effect, some related sub-oppositions or contrasts, ingeniously worked out by Jane Austen but undermined in the translation. The first to be noted is the contrast between lack of self-control and calmness. The metaphorical 'her feelings found a rapid vent', in which 'feelings' are accorded the role of actor, clearly indicates the loss of self-control and leads one to predict such expressions as 'shout' or 'abuse barbarously'. But what actually follows is the calm and volitional 'she persisted in disbelieving... she was very sure... she trusted...'. Without, notably, any explicit reference to the act of speaking, the processes involved, though contextually coming from externalised verbalisation, may well pass off, by virtue of their usual ideational function, as internalised cognitive processes. The impression is deepened by the apparently cognitive 'Two inferences, however, were plainly deduced from the whole...', while the ambiguity between *thinking* and *speaking* potentially present in the term 'dwell' also seems to lend support to the effect.

The ingenious transformation of inferrable speech into ostensibly calm thoughts brings us to yet another opposition: one between successiveness and simultaneity. While speech is marked by linearity, different thoughts can be held simultaneously in the mind. Austen's ingenious transformation, coupled

with the use of the ordinals which normally refer to co-existing or parallel processes of reasoning, creates something of the impression that Mrs Bennet is holding the conflicting beliefs simultaneously (versus a matter of changing her mind), which contributes to the ironic effect. That the transformation in question helps generate simultaneity may be backed up by the fact that they are found incompatible with adjuncts which indicate change in time:

At the beginning, she persisted in disbelieving the whole of the matter; then she was very sure that Mr Collins had been taken in; then she trusted that they would never be happy together; and at last she trusted that the match might be broken off.

Compare the translation:

at the beginning, she said firmly that the news had been completely made up, then she said that Mr Collins had been taken in, she swore that they would never be happy, at last she said that their marriage would certainly be broken off.

Clearly, there is in the former case a clash between the durative or stative 'mental' processes and the adjuncts indicating change in time: a clash not found in the translation where the 'mental' processes are changed into externalised verbalisation processes which are successive to, rather than simultaneous with, each other: a change that further undercuts the ironic effect.

To represent Mrs Bennet's speech in an apparent thought form is to tone down, to tranquillize her temper. Indeed, do we not have reason, in a situation like this, to take 'disbelieving the whole of the matter' as understatement, a cover for some ruder remark like 'It's sheer rubbish!'. And do we not have reason to assume that the translator, if he had been in Austen's place, would have accorded to Mrs Bennet a stream of explicit abuse (note, among other things, the change of Austen's 'on these two points she principally dwelt' into 'she kept on cursing')?



It is clear that Jane Austen's passage is marked by multiple ironic gaps between the narrative style (appearance) and the purported fictional world (reality). And if 'illogicality' is taken in a broad sense, any of these ironic gaps, each involving some shape of inconsistency, may be treated as a form of 'illogicality'. In the following chapter a distinction will be drawn between imitating and shaping reality. In the case of shaping reality, there is always a gap between the narrative style and the purported fictional reality, a gap that may also be taken as 'illogical' in the broad sense.

The divergence between an appearance and a reality, the involvement of a double decoding (and their mutual conditioning) is what 'illogical' gaps as such share in common. But as regards the reader's attitude towards the 'appearance' involved, the 'illogical' gaps in the present case differ fundamentally from those which will be discussed in the following chapter where, as we shall see, the 'appearance', which embodies the author's point of view, is to be accepted by the reader and where the 'appearance' is seen positively to superimpose a meaning upon that of the fictional reality. In the present case, however, the 'appearance' is to be rejected by the reader: the beguiling logical appearance is to be rejected as false; similarly, the apparent calmness is to be rejected as deceptive. If, in the other cases referred to, the emphasis is on 'as if it were', here the emphasis falls, by contrast, on 'actually it is not'. It is through the tension between the appearance and the reality, through the reader's amusement in detecting the falsity and reconstructing the reality that there is conveyed the 'true' reality – subtly, ironically and penetratingly.

In Jane Austen's passage, there is, in effect, another kind of 'illogical' gap, manifested in 'Elizabeth was the real cause of all the mischief; and... she herself had been barbarously used by them all': a gap between an appearance created by Mrs Bennet and the fictional reality that lies underneath; a gap which is marked by the fact that the 'appearance' is to be attributed to a character

rather than to the implied author. In such cases, whether the 'appearance' is to be accepted or rejected depends largely on the role of, and the author's attitude towards, the character. As shown above, the loci of the 'appearance' in question: 'all the mischief', 'by them all' and the foregrounded 'barbarously' are omitted in the translation where we find instead the more logical form 'she blamed Elizabeth... she regretted that she herself had been used by others': a change accompanied again by the notable loss of irony.

One may wonder whether the regrettable changes are necessitated by differences between Chinese and English. As an answer to this, I present here another Chinese translation, one that has almost fully captured the multiple 'illogical' gaps in the original:

Bannate taitai zai Weilian jueshi mianqian, shizai qide shuo bu chu hua;  
In front of Sir William, Mrs Bennet was really too angry to speak;

keshi, ta yizou, ta na yiduzi laosao bian mashang faxie chulai.  
But, soon as he left, her world of grievances found an immediate vent.

Diyi, ta jianjue bu xiangxin zhehui shi; di'er, ta  
In the first place, she firmly disbelieved this affair; secondly, she was

duanding Kelinsi xiansheng shoule pian; disan, ta xiangxin zhe yidui fu-fu  
sure that Mr Collins had been taken in; thirdly, she trusted that this couple

jue buhui xingfu; disi, zhemen qinshi keneng hui polie.  
would definitely not be happy; fourthly, [that] the match might be broken off.

Buguo, ta que cong zhengge shijian shang jiandande dechule liangge  
However, from the whole event she plainly drew two conclusions -

jielun - yige shi: zhechang xiaohua dou shi Yilishabai yishou zaochengde,  
one: [that] this joke was all caused by Elizabeth,

ling yige shi, ta ziji shoujinle dajiade qiwu nuedai;  
and the other, [that] she herself had suffered enough from the maltreatment

zai na yi zhengtian li, ta suo tande dadu shi  
by them all; during that whole day, what she talked about were principally

zhe liang dian. Suibian zenme ye anwei buliao ta...  
these two points. There was no way to comfort her...

(translated by Keyi Wang, 1969:153)



It may be noticed that intentional 'illogicality', either in the narrow or broad sense, is an element which I find characteristic of literary discourse. But unfortunately, in translation, not only are the more strictly 'illogical' elements often brought towards coherence with the loss of, say, irony or intensity (see below), the broadly-speaking 'illogical' gaps which involve a divergent double-decoding, may also, due to the general inclination for coherence, plainness or transparency, suffer a similar fate.

Now, in arguing that the translator should capture the various gaps between the narrative style and the purported reality (in monologic fiction), I am committed, apart from a devotion to the original work, to the aesthetics which appreciates the ingenious implicit interference of the monologic author, the subtle superimposition of one point of view upon another, the paradoxical effect accompanying the divergent double-decoding and the resultant textual intensity. One may object to this in favour of some opposing aesthetic principles such as 'absolutely no interference from the author'. But the point is that what motivates a translator's adaptation seems not so much a matter of different aesthetic principles as a matter of insensitivity towards the author's stylistic devices which, as we have seen and shall see, are very subtle: a play on referential equivalents, on syntactic rank or shape, on textual distance, on modes of speech or on the different roles of the narrator.

Such subtlety, though prized in the original, poses a problem in translating where the subtle devices can often, since they do not really bear on the 'brute' facts, be overlooked. But, as borne out by Dong Liu's translation of Jane Austen, failure to carry over the subtle stylistic devices may result in serious distortions of the original: in Dong's translation, there is no fusion of multiple 'illogical' gaps and, therefore, no subtlety, irony, no author's implicit satirical humour, no source for the reader's mocking amusement, no secret communication between the author and the reader; in short, none of the

features which, combined together, form the Austen savour or the determiner of Austen's style. Indeed, Dong's translation may serve to highlight, as a negative case, the necessity of applying stylistics to the translation of literary discourse as opposed to ordinary discourse.

We now turn to the translation from Chinese into English. In Chinese fiction, as in English fiction, one finds 'contradictory' statements made by the author and intended for the discerning reader who can readily expose the seeming illogicality and reconstruct the author's true meanings and purposes. Such a case is found in Lu Xun's 'The True Story of Ah Q' ('Ah Q Zheng Zhuan'): a case whose seeming illogicality is carried over by translation (A) but brought towards coherence by translation (B), as follows:

(A)<sup>1</sup> However, the truth of the proverb 'misfortune may be a blessing in disguise' was shown when Ah Q was **unfortunate** enough to win and almost suffered defeat in the end. (p.86, my boldface)

(B) But 'who knows that it is not a blessing for the Tartar to have lost his horse?' The only occasion on which Ah Q did win, he came near to tasting defeat. (p.85)

'The True Story of Ah Q' is a satire on the negative side of the Chinese character as embodied by the antihero Ah Q, a figure who, though fundamentally tragic, is in a sense more comic than Mrs Bennet. Even from these few decontextualized lines, where the antithetical 'unfortunate enough to win' forms one of the many ironic twists present in the story, the reader may get some flavour of the author's sustaining satirical humour.

In terms of interpretation, the seemingly illogical 'unfortunate to win', which utilizes, by way of reversing, the truth of the preceding proverb and which is followed by an illustrative context, does not really pose any problem. As regards literary effects, the term 'unfortunate' seems to take on at once a ring of irony and tragedy. Throughout the story, underlying the author's scathing



satire on the protagonist, one can sense the author's deploring sympathy for him, a figure who suffers from deep oppression and a tragic fate. In the present case, while one cannot miss the author's tone of mockery in the semantic clash between 'unfortunate' and 'win', the term 'unfortunate' seems to point to the tragic side of the protagonist, to the author's underlying sympathy. The duality of the term seems to generate a paradoxical effect and textual intensity which fit perfectly well in this context. Given this, translation (B)'s omission of the seemingly illogical 'unfortunate' is at once unnecessary and undesirable.

If the use of the seemingly illogical 'unfortunate' marks Lu Xun's tone or style, the paradoxical effect or the divergent double-decoding is an element which I find, as noted above, characteristic of literary discourse and which I find often unappreciated in the process of translating. The translator's readiness to bring things towards straightforwardness may again be brought out by a comparison between the following two translations of a passage in the same story:

(A) (All Ah Q's scars turned scarlet. Flinging his jacket on the ground, he spat and said, 'Hairy worm!' 'Mangy dog, who are you calling names?' Whiskers Wang looked up contemptuously.) Although the relative respect accorded him in recent years had increased Ah Q's pride, **when confronted by loafers who were accustomed to fighting he remained rather timid. On this occasion, however, he was feeling exceptionally pugnacious.** How dare a hairy-cheeked creature like this insult him? (pp.89-90' my boldface. For what follows, see note 2)

(B) (...) **If the challenge had come** from one of the idlers in whose hands he had suffered ignominious defeat, Ah Q, in spite of the distinction that he had recently won and the pride that he took in it, **might have been** more cautious about taking it up. But he did not feel any need for caution on this occasion; he felt very brave. How dare the hairy face talk to him like that? (pp.88-89, my boldface)

Translation (A) presents a close rendering of the original (except for the omission of 'only' from 'only on this occasion' ('*duyou zhehui*') and the change

from 'valiant' (*'wuyong'*) into 'pugnacious'<sup>3</sup>), against which (B)'s adaptation should be apparent. In the original, one finds some element of 'illogicality':

Ah Q was **timid** when confronted by idlers who were accustomed to fighting.  
Whiskers/Beard Wang was one of those idlers.  
Ah Q (however) was **valiant** on this occasion towards his challenge.

In translation (B), however, by way of changing the indicative mood into the subjunctive, coupled with other changes (including the change of 'who were accustomed to fighting' into 'in whose hands he had suffered ignominious defeat'), Whiskers Wang ('the hairy face') is excluded from those idlers whose fighting is expected to intimidate Ah Q. Thus, one finds in (B) the perfectly logical form:

Ah Q was (only) afraid of those idlers...  
Whiskers Wang was not one of those idlers.  
So Ah Q was not afraid of Whiskers Wang's challenge.

The picture that emerges from translation (B) is a plain or straightforward one of Ah Q's cowardice: his fearing the strong and bullying the weak. But the original picture, as reflected in (A), is a more complicated, twofold one of Ah Q's cowardice **and** conceit.

Ah Q's conceit or self-deceiving 'psychological victory' is in fact the principal target of the author's satire in this story. Though the poorest in Wei village, 'Ah Q was very proud and held all the inhabitants of Wei in contempt' (B, p.82). In the present case, Ah Q's contempt for Whiskers Wang, to whom he is no match and by whom he is readily defeated (see note 3), serves to bring out **satirically** the absurdity of his conceit and the self-deceiving nature of his 'psychological victory'. Indeed, one simply cannot miss the author's double-edged irony – both on Ah Q's cowardice and on Ah Q's conceit – in



observations like the following:

If it had been any other idler, Ah Q would never have dared sit down so casually; but what had he to fear by the side of Whiskers Wang? To tell the truth, the fact that he was willing to sit down was an honour for Wang. (tr. by A, p.89. The term 'idler' is omitted by version B where one finds 'If it had been someone else'.)

It is precisely because Ah Q underrates Whiskers Wang and overrates himself that passages like this can be read sardonically. Much of the irony is lost in translation (B) where one is given the impression that Whiskers Wang deserves Ah Q's contempt<sup>4</sup>.

It seems that Ah Q's unexpected valiancy in the present passage not only ironically reflects Ah Q's conceit but also, while by no means reducing Ah Q's cowardice, enables the author to depict Ah Q's cowardice more ironically ('Although Ah Q recently ... remained timid. **Only** on this occasion however [Ah Q] was **exceptionally** valiant.' / '*Ah Q jinlai suiran ... hai danqie. Duyou zhehui que feichang wuyongle*'). Through the subtle fusion and driving tension between 'timid' (cowardice) and 'valiant' (conceit) is ingeniously, paradoxically and sardonically conveyed **at once** both traits in Ah Q's character.

Now, what is essential in the transference of deliberate 'illogicality' is the grasp of the author's true meanings and purposes. Given such a grasp, the translator's alterations may well match the original in spirit:

(A) Presently, however, [Ah Q] regained composure by thinking, 'Only idiots can make perfect circles.' (p.131)

(B) The last thought, however, troubled him only for a brief moment, for he soon decided that no decent man could draw a perfect circle anyway. (p.125)

Both versions, similarly illogical in Ah Q's reasoning though different in lexical choice, convey well the sardonic effect of the original (see note 5).

But sometimes, even if the translator has caught, up to a point, the author's

ironic intention, changes in lexical form may still involve some loss of the original effect. Compare:

(A)<sup>6</sup> In ancient times, as I recollect, people often ate human beings, but I am rather hazy about it. I tried to look this up, but my history has no chronology, and scrawled all over each page **are the words: 'Virtue and Morality.'** Since I could not sleep anyway. I read half the night, until I began to see words between the lines, the whole book being **filled with the two words--'Eat People.'**

All these words written in the book, all the words spoken by our tenant, gaze at me strangely with an enigmatic smile.

I too am a man, and they want to eat me!

(pp.11-12, my boldface)

(B) I thought I had read somewhere that man-eating was a common practice in ancient times, but I was not sure. I decided to look it up in my history. This history contained no dates, but over every page was **scrawled the words 'Benevolence and Righteousness.'**

It was not until I had read half through the night (I could not sleep anyway) that I began to make out the words hidden between the lines and to discover that the book **was nothing but a record of man-eating!**

It was written in the book and hinted at by the tenant, and they all looked at me with such strange eyes--though they smiled all the time!

Since I am a man, they are probably thinking of eating me!

(p.209, my boldface)

This passage comes from Lu Xun's 'A Madman's Diary' ('Kuangren Riji') which forms a scathing satire on feudal ethics. Both translations here attempt to bring out the satirical effect. But while (A) sticks closely to the original (except for the omission of '!' after 'eat people' and the capitalization of the words within inverted commas), (B) replaces 'the whole book was filled with the two words "eat people"!' with 'the book was nothing but a record of man-eating!'. Now, in the original, 'virtue and morality' ('*renyi-daode*') is made to correspond not only directly but also, in a sense, **literally** to 'eat people' ('*chi ren*') (note that A's capitalization of the respective phrases underlines their identification – a means available only in English), whereas in (B), this illogical correspondence is made, by virtue of the change from specificity to generality, to become more **metaphorical** and therefore less illogical, which seems to undercut the original



force or strikingness.

Furthermore, in the original, 'eat people!' (*'chi ren'!*) is or, at least, may be regarded as in the imperative mood. This leads to the bitterly ironic interpretation that feudal ethics ostensibly teach people to be virtuous and moral but actually the ethics teach people to eat people. This interpretation, which forms a blunt satire on feudal ethics *per se*, is not allowed in the relatively more logical (B) version where, instead of the preaching 'Eat People!', is found the social condition of man-eating (though to which the feudal ethics are held responsible).

One may have noticed in (A) the echoing between the four 'words',<sup>7</sup> referred to one and all by the anaphoric 'they'. This carries the satire even further, to the point that 'Virtue and Morality' not only means 'Eat People' but also, as a component of 'they', wants to eat me! In other words, feudal ethics, in addition to preaching man-eating, practise man-eating in themselves. This interpretation is again not allowed in (B) which presents, concerning the third and fourth 'words', the more logical and rational expression 'It was written in the book and hinted at by the tenant'. As a result, the anaphoric 'they' is permitted to refer only to 'the tenant' (notice the lack of agreement in 'was scrawled the words' above) or to 'the book' and 'the tenant'. In either case, the satire on feudal ethics becomes less direct and so less forceful.

It is clear that the satire in (B), underlying a relatively more logical or rational form, is less coherent than that in (A) which, though ostensibly 'madder', has underneath a cogent argumentative progression, carrying the satire on feudal ethics directly to the most scathing point.

The moral to draw here is that, before altering the author's lexical choice, one has to look carefully into its motivation, into its function in relation to other surrounding linguistic features, since otherwise one can easily produce deceptive equivalence. Given that 'the book was nothing but a record of

man-eating' has its ready equivalent in Chinese, its not being chosen by Lu may have behind it a good reason. Indeed, apart from the reasons already referred to, the author's choosing instead the less commonsensical 'eat people' may have to do with the creation of the impression of 'madness', i.e. to make the madman's diary more authentic. And this brings us to the next section.

### 6.1.2. 'Illogicality' and Authenticity

In order to obtain a clearer picture, we shall first, in the light of the analysis above, attempt here a classification of 'illogicality'. Although one can easily think of borderline cases and subspecies, 'illogicality' as employed in fictional art seems to fall basically into four types:

- a) that which comes from mental activities prior to the state of complete awareness: a common phenomenon in stream-of-consciousness fiction;
- b) that which is attributable to the absence or loss of normal reasoning power: as reflected in Mrs Bennet's inconsistency or Ah Q's absurd reasoning;
- c) that which is to be accounted for by the complexity or change in a character's trait or mood or attitude or the like: as illustrated by the coward Ah Q's being valiant towards Beard Wang's challenge;
- d) that which is deliberately encoded by the author to achieve certain effects: as reflected in Austen's depiction of Mrs Bennet or Lu's 'unfortunate to win'.

Of these types, a) to c) pertain to the fictional reality that the novelist has chosen to describe or create; the last type is, by contrast, a matter of the novelist's formal operations over and above the experience depicted. But, as already noted, the demarcation between the two levels is sometimes problematic. Either in Jane Austen's passage or in the one taken from Lu's 'A Madman's Diary', there is seen an interplay between the existential and the formal operations. Even in Lu's 'unfortunate to win', to attribute the use of



'unfortunate' exclusively to the formal principle is perhaps to neglect the character's immediate loss and his tragic fate.

In what follows, attention will be directed to all of these four types of 'illogicality'. To start from type (b), a type to which the last case examined, i.e. the illogicality in the passage taken from Lu's 'A Madman's Diary', apparently belongs. Now, by 'apparently' I mean both 'obviously' and 'superficially'. The illogicality or madness involved is only superficial in the sense that it is a purposeful disguise of a bitter social/political satire. In order to make the disguise imperceptible, the author encodes in the diary multiple illogical elements typical of a madman and prefaces it by:

The writing was most confused and incoherent, and he had made many wild statements; moreover, he had omitted to give any dates, so that only by the colour of the ink and the differences in the writing could one tell that it was not written at one time. Certain sections, however, were not altogether disconnected, and I have copied out a part to serve as a subject for medical research. I have not altered a single illogicality in the diary.... (tr. by A, p.8)

The illogicality involved in this story can be divided into two kinds: one kind, while helping to create an impression of madness, contributes to the major themes (as exemplified by the passage already analysed); the other kind serves merely to deepen the impression of 'genuine' madness, such as pronominal confusion. The rationale underlying the latter kind is simply that, since a madman's writing is characterized by incoherence or inconsistency, the more illogical the diary is found, the more authentic it may appear.

Operating in different social/political circumstances and having in mind a different readership, certain of the latter kind of illogicality seems to be taken by the translators as either unnecessary or undesirable and is therefore brought towards coherence (see, for instance, the confusion of 'they' and 'he' in Lu's p.10 and the corresponding consistent referential forms in the translations

(A,p.9; B,p.206)). Naturally, every such adaptation involves some loss of authenticity as such, accompanied, though, by a gain in comprehensibility.

We now turn to a passage taken from Lu's 'The New Year's Sacrifice' ('Zhufu'), where the adaptation made by translation (C)<sup>8</sup> differs from those just referred to in that it bears on the major theme(s):

(A) Of all the people I had seen this time at Luchen none had changed as much as she: her hair, which had been streaked with white five years before, was now completely white, quite unlike someone in her forties. Her face was fearfully thin and dark in its sallowness, and **had moreover lost its former expression of sadness, looking as if carved out of wood.** Only an occasional flicker of her eyes showed she was still a living creature. In one hand she carried a wicker basket, in which was a broken bowl, empty; in the other she held a bamboo pole longer than herself, split at the bottom: it was clear that she had become a beggar. (p.152. my boldface: this part is translated by (B) into 'it had lost its sad and sorrowful aspect and was now as expressionless as if carved of wood.')

(C) Although other folk I used to know in Lo Ching have apparently changed little, Hsiang-lin Sao was no longer the same. Her hair was all white, her face was alarmingly lean, hollow, and burnt a dark yellow. She looked completely exhausted, not at all like a woman not yet forty, but **like a wooden thing with an expression of tragic sadness carved into it.** Only the movement of her lustreless eyes showed that she still lived.... (p.53. my boldface)

Lu's 'The New Year's Sacrifice' is a depiction of the tragic life of a twice-widowed country woman, who represents a typical victim of feudal ethics (which discriminates against women and according to which it is immoral for a widow to marry again). The present passage occurs when the protagonist has been reduced to the most miserable state – that of a sheer beggar. What is striking in translation (C) is the replacement of Lu's 'her face...had moreover completely lost its former expression of sadness, as if carved out of wood' (*'lianshang...erqie xiao jinle xianqian beiaide shense, fangfu shi muke shide'*) with 'she looked...like a wooden thing with an expression of tragic sadness carved into it'. What underlies this adaptation seems to be the

normal reasoning that the more miserable a state in which one finds oneself, the sadder one would appear.

Now, the seeming 'illogicality' involved in Lu (i.e. losing completely the expression of sadness in a saddest state) belongs to what I have classified as the (c) type of 'illogicality' which is to be accounted for by complexity or change in a character's trait or disposition or the like. The phrase 'the former expression of sadness' in Lu refers to the expression that the protagonist wears after the death of her second husband and her son. But her subsequent tragic experience, chief among which is the scorn or discrimination that she as a remarried widow is subjected to, breaks, so to speak, her spirit and reduces her to a state of complete apathy (cf. X.Wang, 1957:69ff.). It is precisely through this change from deep sorrow to complete apathy that is emphatically conveyed the extreme tragedy of the protagonist, which forms a strong indictment against feudal ethics. Seen in this light, (C)'s adaptation in question is very regrettable.

It should be noted that this passage actually appears prior to the I-narrator's retrospective account of the protagonist's experience. As the first introduction to the protagonist, this passage, which in a sense outlines the 'outcome' of her life, is made psychologically prominent. Furthermore, due to the absence of any preceding substantiating context, the statement 'her face...had moreover completely lost its former expression of sadness' is quite puzzling, giving rise to an element of suspense: why does this woman, now a sheer beggar, no longer appear sad?<sup>9</sup> This arouses the reader's interest, impelling the reader to find out the grim reality that lies underneath. Clearly, the effect of suspense, coupled with the psychologically prominent position, adds to the importance of the faithful transference of Lu's seeming 'illogicality', through which is authentically brought out the protagonist's tragic change to complete apathy.



Before turning to the discussion of 'illogicality' and the effect of intensity, we now look into a case from Lao She's Rickshaw Boy (Luotuo Xiangzi), a case where the seeming illogicality involved seems to be associated with both authenticity and intensity:

(Lao) ... ta fangfu bu shi lazhe liang che, ershi lazhe kou guancai  
... as if he was not pulling a rickshaw, but was pulling a

shide. Zai zheliang cheshang, ta shishi kanjian yixie guiying,  
coffin. In this rickshaw, he constantly saw some shadows of ghosts,

fangfu shi. (p.157)

as if they were really there. (for what precedes, see A)

(A)<sup>10</sup> (Hsiang Tzu knew all about the history of this rickshaw and he didn't really want it. There were plenty of other rickshaws so why buy this particular one? This ill-omened rickshaw, this rickshaw got in trade for a daughter and sold because of the murder of a wife?...

... He was always apprehensive, as if he didn't know when trouble would turn up. Sometimes he would suddenly think about Ch'iang and all his hard luck.) It was as if he was pulling a coffin, not a rickshaw. Now and then he saw ghosts riding in it, or thought he did. (p.167)

(B) ... It seemed to him that he was constantly seeing the shadowy spirits of the dead riding for nothing in this rickshaw of his. (p.175)

(C) ... Often he seemed to see shadows of ghosts around it. (p.171)

Clearly, the seeming illogicality occurs in the clause 'In this rickshaw, he constantly saw some shadows of ghosts', which violates the commonsensical conviction that there is no ghost in the world and which is immediately corrected, as it were, by the hypothetical 'as if'. Now, the 'illogicality' involved here, though ostensibly straightforward, is subjected to two contrastive interpretations. On the one hand, it may be treated as belonging to what I classified as type (a) illogicality that comes from mental activities prior to the state of complete awareness. In this light, the protagonist is seen to perceive the shadows of ghosts in a pre-conscious, hallucinatory state; but when he becomes fully conscious, the perception as such is rationalized into a hypothetical 'as if'. The resulting effect is of course that of authenticity – in

the shape of a faithful recording of the movement from pre-conscious hallucination to a conscious realization.

In contrast to this, the seeming illogicality may be taken as belonging to type (d), a type that is deliberately encoded by the author to achieve certain effects. From this perspective, the case is one in which the author deliberately chooses the form 'he constantly saw..., as if they were really there' in place of 'as if he constantly saw...', with the former functioning or, rather, passing off as a referential equivalent to the latter. What accompanies this splitting of one statement into two 'complementary' ones is the effect of intensity: the assertion '... he constantly saw some shadows of ghosts' is, by virtue of its impossibility, at once striking and shocking, an effect that seems only partially cancelled out by the following 'as if'. The author, that is to say, is playing on the presentational sequence, on the linear progression of language.

Further complication arises with yet another possible, though less likely, interpretation. Perhaps 'he constantly saw...' is an authentic report of the character's whole perception (he sees or believes that he sees). But since the perception goes against common sense, the narrator, in order to make the narrative acceptable or himself reliable, modulates it by 'as if'.

The potential coexistence of these contrastive interpretations results in a paradoxical effect and textual intensity characteristic of literary discourse. It should be stressed that, as Lao's work is a well-formed one, the 'illogicality' involved which occurs on the narrative plane seems far from fortuitous. But, as shown above, Lao's 'illogicality' is captured only by translation (A) which produces the similar effects of authenticity and intensity: both effects being undercut in (B) and (C) where Lao's two 'complementary' statements are unfortunately combined into a logical, coherent whole.

### 6.1.3. 'Illogicality' and Intensity

The effect of intensity is generated in the preceding (Lao) and (A) by delaying the 'warning' of the unreality involved. Conversely, both illogicality and the associated intensity are dissolved in (B) and (C) by the timely 'warning'. Indeed, if timely warning is given – either locally or globally as in the case of Lu's 'A Madman's Diary' – whatever illogical element is involved, it will be found more acceptable. In translating, due to the translator's preference for making illogical elements more acceptable, sometimes more warnings are provided than those given in the original, an addition that may lead to a reduction in the effect of intensity (for exemplification, see note 11).

It seems that the correlation between 'illogicality' and intensity tends to come to the fore in the presentation of a heightened emotive state. Given that great joy or worry, extreme love or hatred may all lead to the violation of normal reasoning processes, the depiction of the loss of normal reasoning power may serve to reflect or underline the emotional intensity involved. This point may be brought out by the following passage taken from Lao She's Rickshaw Boy:

(Lao) ... Zhexie, zai Xiangzide yanzhong erzhong dou feichangde youqu  
... To Xiangzi these were unusually interesting and lovely.

yu ke'ai. Zhiyou zheyangde xiao he fangfu caineng suan shi he;  
As if only such a small river could be counted as a river;

zheyangde shu, maizi, heye, qiaoliang, caineng suan shi shu,  
such trees, wheat, lotus leaves, bridge, could be counted as trees,

maizi, heye, yu qiaoliang. Yinwei tamen dou shuyu Beiping.  
wheat, lotus leaves, and bridge. For they all belonged to Beiping.

(p.32. For what precedes, see A)

(A)<sup>12</sup> There wasn't much water in the canal but there was a lot of trailing waterweed like an oily belt, narrow, long, and deep green, which gave off a slight rank smell of damp. The wheat on the north bank had already spit out its shoots. They were stunted and dry, with a layer of dust on their leaves. The pads of the water



lilies along the southern embankment of the canal floated limply on the surface.... It was all very enjoyable and precious to Hsiang Tzu. Only a little canal like this one could be considered a canal. These trees, the wheat, the water lily pads, the bridge, were the only real trees, wheat, water lilies, and bridge, because they were all part of Peking. (p.31)

(B) ... But to Xiangzi it was all enchanting. To him, this was the only stream, these were the only trees, lilies, wheat and bridge worthy of the name – for they all belonged to Beiping. (pp39–40)

This passage occurs after the protagonist Xiangzi is seized by warlord soldiers and almost tortured to death. After a narrow escape, he finally arrives in the city Beiping (Beijing) which is to him his home, his sole friend, and single hope.

The 'illogicality' involved here first appears in the sentence 'To Xiangzi these were all unusually interesting and lovely'. It is clear that 'these' are actually far from lovely (see A): the river is 'oily', with a slight rank smell of damp; the wheat is stunted and dry as well as dusty.... Apparently the description of the scene is unbiased, not from the point of view of the protagonist, but from that of a reliable narrator. What is notable in Lao is the absence of any signal of the conflict between the two points of view involved, whose occurrence is therefore accompanied by tension or paradox which I find, as noted above, characteristic of literary discourse and which seems somewhat dissipated both in (B)'s added signal, viz. the adversative 'but' and in (A)'s replacement of Lao's 'lovely' (*'ke'ai'*) by 'precious'. In Lao, it is through the implicit conflict between the actual appearance of the entities (which borders on unloveliness) and the protagonist's coloured perception ('unusually interesting and lovely') that the protagonist's intense love of the city is subtly conveyed.

The extreme love is further emphatically conveyed by the illogicality occurring in the free indirect thought. The assertion 'only such a small river could be counted as a river' entails a tautology 'this river could be counted as

a river' as well as a fallacy 'other (kinds of) rivers could not be counted as rivers', both being mitigated by 'as if'. The following coordinate statement, though, is unmitigated, where the tautology and fallacy involved are brought to the fore by the repetition of the list of nominal groups. The picture thus formed is one of evaluating without a sensible standard or concluding without normal reasoning power: a mental state led to by the protagonist's extreme love of the city.

The effect is undercut by translation (B) where is found instead 'this was the only stream ... worthy of the name', by which the **entity** as such is separated from the **name**, with the latter functioning as a relatively sensible standard. The same goes for (A)'s addition of 'real' (both, though, could be treated as being pragmatically implied in Lao). Closely related to this, (B)'s avoidance of the repetition of the list of nominal groups, coupled with the combination of the two coordinate clauses, further dissipates the lack of normal reasoning power in Lao. Against Lao (and A) where the emphatically repeated '...could be counted as a river... could be counted as trees, wheat, lotus leaves, and bridge' functions as a raw expression of the protagonist's intense love, the neatly edited '... worthy of the name' in (B) does seem to appear much cooler or much less **emotionally involved**.

Now, in terms of the correlation between 'illogicality' and intensity, a most common phenomenon is found in the narrator's own seemingly contradictory statements, with the antinomy functioning to intensify the effect. Attention will be directed here to two illustrative cases. The first is taken from Lu Xun's 'Medicine' ('Yao'), in which the 'illogicality' involved is purely a matter of rhetorical form:

(A)<sup>13</sup> It was autumn, in the small hours of the morning. The moon had gone down, but the sun had not yet risen, and the sky appeared a sheet of darkling blue. **Apart from night-prowlers, all was asleep. Old Chuan suddenly sat up in bed.** He struck a



match... (p.29. my boldface)

(B) ... Everything still sleeps, except those who wander in the night, **and** Hua Lao-shuan. He sits up suddenly in his bed... (p.30. my boldface)

This is the beginning of the story. The protagonist gets up in the small hours to get some 'medicine' for his only son who is dying from pulmonary tuberculosis. The unexpectedness of the protagonist's getting up is dramatically intensified in Lu through the contradiction between 'except for those creatures who wander in the night, all was asleep' (*'chule yeyoude dongxi, shenme dou shuizhe'*) and the immediately following 'Hua Laoshuan suddenly sat up in bed' (*'Hua Laoshuan huran zuoqi shen'*): the former, contradicted by the latter, functions as a rhetorical form of exaggeration or emphasis, which, by purposefully 'misleading' the reader, enables the latter to defeat the reader's expectation so as to appear more striking.

This seeming illogicality, which is captured by (A), is completely dissipated in (B)'s coherent form 'Everything still sleeps, except those who wander in the night, and Hua Lao-shuan', an adaptation with the possible implication of treating the 'contradiction' in Lu as a reflection against the author. But clearly, Lu's seeming contradiction is an artistic device rather than a mistake resulting from carelessness. (B)'s adaptation, which involves the loss of the dramatized intensity, seems at once unnecessary and undesirable.

The second illustrative case comes from Mao Dun's 'Spring Silkworms' ('Chun Can'). In contrast with the preceding example, here is found a subtle interplay between the 'existential' and the 'formal' operations:

(Mao) 'Keshi na dasuan tou shangde miao que dangzhen zhiyou san si jingya!' 'But that garlic really had only grown three or four shoots!'

Lao Tong Bao zi xinli zheme xiang, juede qiantu zhishi yin'an. Kebushi, Old Tong Bao thought so, felt that the future was only gloomy. Indeed,

chile xuduo yequ, yizhi luolai dou henhao, ran'er shangle shan que



it did often happen that having eaten a good deal of leaves and having gone  
ganjianglede shi, yeshi changyoude.  
well all the way, the silkworms still dried up and died when ready to

**Buguo Lao Tong Bao wulun ruhe bugan xiangdao**  
spin their cocoons. **But Old Tong Bao did not on any account dare let**

**zheshangtouqu;** ta yiwei jishi shi duzili xiang,  
**himself think of this;** he took it that even to think of it in the secret

yeshe bu jili.  
recesses of the mind, would still be inviting bad luck.

(A)<sup>14</sup> Old Tung Pao recalled gloomily that the garlic had only put forth three or four shoots. He thought the future looked dark. Hadn't there been times before when the silkworms ate great quantities of leaves and seemed to be growing well, yet dried up and died just when they were ready to spin their cocoons? Yes, often! **But Old Tung Pao didn't dare let himself think of such a possibility.** To entertain a thought like that, even in the most secret recesses of the mind, would only be inviting bad luck! (pp.31-2)

(B) The obsession of bad luck gradually took root in his old heart. Everything might go properly with the silkworms all the way as it should be. But who could tell, he reasoned further, that at the last minute the worms would not suddenly turn stiff? **The more he thought the more he became afraid, afraid that the thoughts might come true.** (p.22)

(C) Tung Pao became full of misgivings about the future. **He knew well that** it was possible for everything to go well all along the way only to have the worms die on the trees. But he did not dare to think of that possibility, for just to think of it was enough to bring ill luck. (p.155)

(my boldface)

It is clear that Mao's sentence 'Indeed, it did often happen that...' (*'Kebushi...'*) can be taken as free indirect thought (FIT). Seen in this light, the following narratorial statement constitutes an obvious contradiction to the fact, with the contradictory element intensified by the emphatic 'on any account' (*'wulun ruhe'*). This heightened 'illogicality' is attributable either to the fictional reality or to the level of the narrating discourse.

As a matter pertaining to fictional reality, the clause headed by the adversative 'but' (*'buguo'*) can be said to reflect the character's self-deceiving conception. In his extreme fear, the character seems to go so far as to escape reality, that is, to evade by way of forcibly contradicting (in his consciousness)

the fact that he has actually thought about 'this'. The narrator, seen in this way, is giving an account of the character's contradictory and 'escaping' state of mind.

However, if this is the case, the narrator is expected by convention to depict it in a way like 'But Old Tong Bao would not on any account admit that he had thought (or: was thinking) about this. He didn't dare let himself think of it for he took it that ...'. Significantly, the point is that if the narrator had given such a representation, the contradiction between the FIT and the following narratorial statement as found in Mao would have dissipated. In this light, the 'illogicality' involved could be regarded as being representational, that is as a matter of rhetorical form.

What underlies this 'heightened' contradiction, which occurs at the level of narrative report, seems to be an effort at intensifying the character's fearfulness. If the contradiction between the actual thought act and the character's denial of the act functions to put across the character's extreme apprehension, the narrator's commitment to the contradiction produces a shock effect which renders the contradiction at once more driving and penetrating. Indeed, the narrator may be seen at this moment to be suspending his judgement and fully empathizing with the character's 'escaping' state of mind. This naturally promotes a deeper sympathetic identification on the part of the reader, thus making the character's fear more keenly felt.

The case is in effect more subtle than it appears. A factor which fails to show up in all three translations is that the sentence in Mao 'Indeed,...' (*'Kebushi,...'*) can also be taken as the narrator's intruding explanation, with an effect analogous to the offscreen voice in theatre. In this light, the narrator is extricated from any representational contradiction. The point to notice is that, as one possible interpretation which makes for subtlety, it does not cancel out the other possible interpretations; more relevantly, it does not cancel out the



given contradiction and the resultant intensifying effect.

Now, how is Mao's 'illogicality' represented by the translations? In (A), the 'illogicality' and the correlated intensifying effect is toned down through i) the omission of the emphatic adjunct 'on any account' (*'wulun ruhe'*); ii) the addition of the temporal adjunct 'before' coupled with the choice of the past perfect tense ('hadn't there been') which, by distancing the happenings into the past, reduces their present relevance; and, closely related to ii), iii) the choice of 'such a possibility' which has a relatively **less direct** referential connection with the preceding FIT (compare (C)'s 'it was **possible** ... But he did not dare to think of **that** possibility').

If (A) only reduces Mao's 'illogicality', version (B) has completely eliminated it. The narrator's 'contradictory' assertion in Mao is simply rendered by (B) into the opposite and the perfectly logical form 'the more he thought'. It is obvious that the picture that emerges in (B) departs dramatically from the one depicted in the original. What one sees in Mao's description 'But Old Tong Bao did **not on any account dare** let himself think of this; he took it that **even** to think of it in the secret recesses of the mind, **would still be** inviting bad luck' are not only the character's 'escaping' state of mind but also his exceeding caution and simplistic superstition, all serving to underline his extreme apprehension as well as to characterize very tellingly his particular consciousness. These individual qualities are not at all reflected in (B)'s 'The more he thought the more he became afraid, afraid that the thoughts might come true' which presents a colourless mind, one that is relatively less scared, for at least it dares admit its thoughts.

A less blunt adaptation is found in (C) where Mao's active and actual process of thinking (FIT) is presented as the phenomenon of the **more inert** cognitive verb 'know' and is consequently made to appear as information acquired in the past and **not necessarily thought about at present**. Thus, the



following statement no longer involves any contradiction. It is apparent that this plain or straightforward version reduces, relative to the paradoxical and tension driven Mao, the intensity of the character's fear.

The fact that Mao's 'contradiction' which forms an ingenious stylistic device, is either undercut or totally eliminated in the translations brings out the necessity of emphasizing the aesthetic function of 'illogicality' as such and points to the importance of guarding consciously against one's inclination for coherence or plainness in the process of literary translation (otherwise one can easily produce 'deceptive equivalence' as such). Although both Mao and (B – the part marked by boldface) or (C) serve to represent a mental state possible under such circumstances, perhaps only Mao, with its ambiguity, paradox/double-decoding, tension and textual intensity, could be said to be characteristic of literary as opposed to ordinary discourse.

#### 6.1.4. Illogicality and Suspense

The effect of suspense gives a manifest expression to the privilege of the authorial or, possibly, the dramatized narrator, in whose hands information is stored up and at whose will it is released or held back<sup>15</sup>. This privilege is clearly demonstrated by the passage taken from Lu's 'The New Year's Sacrifice': '...her face... had moreover completely lost its former expression of sadness...it was clear that she had become a sheer beggar', where, as already noted, the first-person narrator presents this description prior to his retrospective narration of 'her' life. Because of the absence of any preceding substantiating context, the statement in question, which is in a sense 'illogical' and quite puzzling in the immediate context, gives rise to suspense, an effect that would not have arisen if the presentational sequence had been chronological.

Interestingly, the correlation between 'illogicality' and suspense is seen to bring to the fore not only the privilege of the author/narrator but also a

particular kind of 'illogicality' which I consider as 'conceptual' as opposed to 'representational'. As distinct from the antithetical 'unfortunate to win' or the literally contradictory 'everything was still asleep except for those creatures who wander in the night. Hua Laoshuan suddenly sat up in bed', the description '...her face ...had moreover completely lost its former expression of sadness...' does not, as a synthetically true statement ('true' to the purported fictional reality of course), involve any violation of logic on the level of discourse in terms of, say, truth conditions; but it violates instead the relevant stereotypic conceptual frame in the reader's mind concerning human characteristics or behaviour under given circumstances – to the effect that 'the sadder a situation in which one finds oneself, the sadder one would appear'. The same applies to the coward Ah Q's being valiant towards Beard Wang's challenge, where, whatever 'illogicality' is involved, it arises not from the narrator's representation but from the violation of the reader's conceptual expectation.

Of the four types of illogicality classified above, type (c) may be treated as exclusively 'conceptual', a type which is to be accounted for by the complexity or change in a character's disposition or mood or the like and which clearly differs from other types in that it is to be attributed not to the violation of logic, unconscious or purposeful, on the part of the speaker/character or reporter/narrator but to the gap between the purported reality (which in itself has, significantly, no relationship to logicity) and the reader's stereotypic conceptual frames. But, of course, the narrator's holding back information or refraining from comment may have here a key role to play.

The way in which such conceptual 'illogicality' functions to give rise to suspense may be further brought out by the following case taken from Lu's 'Medicine':



(A) In the darkness nothing could be seen but the grey roadway. The lantern light fell on his pacing feet. Here and there he came across dogs, but none of them barked. It was much colder than indoors, **yet** Old Chuan's spirits rose, **as if** he had grown suddenly younger and possessed some miraculous life-giving power. He had lengthened his stride. And the road became increasingly clear, the sky increasingly bright. (pp.29-30. my boldface)

(B) In the blackness nothing is at first visible save a grey ribbon of path. The lantern illumines only his two feet, which move rhythmically. Dogs appear here and there, then sidle off again. None even barks. Outside the air is cold, **and it refreshes** Lao-shuan, **so that** it seems to him that he is all at once a youth, and possesses the miraculous power of touching men into life. He takes longer strides... (p.31. my boldface)

Now, what comes in between this passage and the beginning of the story (which was looked into in the last section) is fully quoted in note 16, from which it can be clearly seen that the story so far is marked by an air of mystery and suspense, leaving the reader with a series of questions: Why does the protagonist suddenly gets up in the small hours? What is the money for? Why is he going out? Where is he going? In the present passage, what is most puzzling is the change in the mood of the protagonist who feels 'as if he had suddenly become a youth and acquired some miraculous life-giving power' (*'fangfu yidan bianle shaonian, dele shentong, you gei ren shengmingde benling shide'*). The cause underlying this change is in this immediate context left unstated but just one page later, it comes, implicitly yet unmistakably, to light:

'Whose sickness is this for?' Old Chuan seemed to hear someone ask; but he made no reply. His whole mind was on the package, which he carried as carefully as if it were the sole heir to an ancient house. Nothing else mattered now. **He was about to transplant this new life to his own home, and reap much happiness.**

(A:31, my boldface)

See also:

'Eat it up... then you'll feel better.'

Little Chuan picked up the black object and looked at it. He had the oddest feeling, as if he were holding his own life in his hands ... Soon it was all eaten ... His father and mother were standing one on each side of him, their eyes apparently pouring something into him and at the same time extracting something. (A:33)



Clearly, it is the thought of the 'medicine' which the protagonist is going to buy for his dying son that has caused the change in the protagonist's mood. By holding back the cause (a device that fits well in the overall suspensive context), the effect, which is highly puzzling in the immediate context, gives rise to suspense which impels the reader to find out the unspecified cause and which therefore makes the cause, once revealed, all the more prominent.

In effect, the mysterious change in the protagonist's mood forms part of a dramatically built-up thematic pattern which has on the one hand the firmly-believed-in magical curing power of the 'medicine' (viz. steamed bread soaked with the blood of a decapitated person) and on the other hand the death of the patient being treated: through the stark and shocking contrast between the two is pathetically revealed the deeply-rooted ignorance and superstition involved, which forms a strong indictment against the dark feudal social conditions.

As shown above, the effect of suspense is dissipated and the thematic pattern impaired in translation (B) where the change in the protagonist's mood is attributed to the fresh air rather than the thought of the 'medicine'. What motivates this change is clearly a desire to correct the conceptual 'illogicality' involved in Lu: with the cause held back, the seemingly 'un-aroused' change in mood violates the stereotypic conceptual frame that there must be a cause underlying a notable change in one's mood.

While the existence of this conceptual frame enables the narrator to create suspense by withholding the cause, this conceptual frame leads the translator, who has apparently failed to capture the true purpose of the conceptual 'illogicality' involved, to assume the fresh air, which is the only potential cause available in the immediate context, to be the cause of the protagonist's change in mood.

Now, since conceptual 'illogicality' as such seems to have attracted little

critical attention, I wish to emphasize two points here. First, the translators' 'corrections' of such conceptual 'illogicality' in the three cases shown above serve to bring out the fact that the various stereotypic conceptual frames have an important role to play in the decoding process. Indeed, we are very much 'expectation-based parsers' of texts (cf. Brown & Yule, 1983: 236ff.; Culler, 1975:230-8; Perry,1979). Significantly, such conceptual expectation may, as borne out by the translators' 'corrections', go so far as to override one's actual reading experience. In the three cases concerned, the original statements subjected to alteration are linguistically valid and readily comprehensible. Clearly, they are altered simply because they violate the conceptual expectations of the translators, who, that is to say, carry out the changes simply to bring the texts into line with their given stereotypic conceptual frames. By this is meant that, as a reader in general and as a translator in particular, one has to guard consciously against being misled by one's conceptual expectations so as to avoid distortions of the literary text.

Furthermore, in terms of the encoder/author, the cases of conceptual 'illogicality' shown above, which are consciously encoded to generate desirable values, point to the fact that the author may play not only upon linguistic conventions but also upon stereotypic conceptual expectations: the violation of either can be used to good effects. Indeed, like linguistic deviation, conceptual deviation seems to form a fruitful area for stylistic investigation.

## 6.2. OBJECTIVITY

In this section, attention will be directed to the translator's objectivity, an issue related to the preceding discussion on conceptual 'illogicality'. As shown above, stereotypic conceptual frames of human behaviour may lead to subjective renderings of the original and should therefore be consciously guarded against in the process of translation. But most essential to the



translator's objective reproduction of the original seem to be the following two frequently related qualities: a) neutrality toward conflicting ideologies, toward opposed religious beliefs or other kinds of social and/or political differences; b) detachment from emotional involvement and any resulting biases. In this section, I shall only slightly touch on the former and focus sharply on the translator's emotional involvement, particularly as regards the characters in a narrative.

The translator's emotional involvement in this respect may find its typical expression in what Wayne Booth defines as 'practical interests':

We have, or can be made to have, a strong desire for the success or failure of those we love or hate, admire or detest; or we can be made to hope for or fear a change in the quality of a character. (1961:125)

The fictional reality may nonetheless be found at odds with such 'practical interests': in the former case, a loved one may end up in disaster and a hated one may get the upper hand; in the latter case similarly, the implied author may choose at any time to bring to light the wickedness of an otherwise virtuous man. At such points where the translator's expectation or desire is contradicted, there may arise, with more than usual likelihood, the danger of his being over-sympathetic or over-contemptuous toward the character(s) involved and, consequently, the danger of his toning down the vice and highlighting the virtue.

It is important, therefore, if the original is to be faithfully carried over, that the translator maintains a certain measure of detachment and impartiality. As far as the translator is concerned, the so-called 'practical interests' are clearly to be guarded against, since it is not the reader's position that the translator should put himself in but that of the original author. Whatever his own inclinations, he should bring himself to come to terms with what the original



author presents (see note 17).

To narrow down the issue to the latter kind of 'practical interests'. Despite one's fear of change in the quality of a character, it is not all that rare that a character is partly formed by traits 'which are necessarily opposed in ways that produce tension and ambiguity' (Culler, 1975:237; see also Allen, 1974:329; Leggett, 1934:103-7). If a character is to be treated as an organic whole, as the meeting place of various qualities gathered from throughout the text, to portray a character with 'equal' intricacy or richness in TL would require the objective reproduction of the original tension and ambiguity.

The translator's objectivity seems to call for particular emphasis in the transference of 'non-contextual' commentary by the authorial narrator on a character or characters: 'non-contextual' in the significant sense that the commentary is not based on or substantiated by dramatized facts. As the reader tends to take on trust the judgement of the 'God-like' author and, further, as judgement in such a case cannot be measured against dramatized facts, any notable change by the translator in authorial evaluation may have a significant bearing on characterization. A case in point is the following passage taken from Cao's A Dream of Red Chamber (Honglou Meng):

(Cao) ... Sui caigan youchang, weimian  
... Although his ability was excellent, it must be admitted that

tan ku; qie shi cai wu shang,  
he was grasping and ruthless; moreover he was conceited (because of his

na tongyin jie cemu er shi,  
ability) and was insolent to his superiors, his fellow-officials all

bu shang yi nian, bian bei shangsi  
looked askance at him with anger, in less than a year, he was impeached

canle yi ben.  
by his superiors with a written report... (p.15)

(A)<sup>18</sup> Yu-tsun, after receiving Shih-yin's gift of silver that year, had left on the sixteenth for the capital. He did so well in the examinations that he became a Palace Graduate and was given a provincial

appointment. He had now been promoted to this prefectship.

But although a capable administrator Yu-tsun was **grasping** and **ruthless**, while his **arrogance** and **insolence** to his superiors made them view him with disfavour. In less than two years they found a chance to impeach him. He was accused of 'ingrained duplicity, tampering with the rites and ...'

The Emperor, much incensed, sanctioned his dismissal. The arrival of this edict rejoiced the hearts of all officials in the Prefecture. But Yu-tsun, although mortified and enraged, betrayed no indignation and went about looking as cheerful as before. After handing over his affairs he gathered together the capital accumulated during his years in office and moved his household back to his native place. (pp. 20-1)

(B) ... But although his intelligence and ability were outstanding, these qualities were **unfortunately offset** by a **certain** cupidity and **harshness** and a **tendency** to use his intelligence in order to **outwit** his superiors; all of which caused his fellow-officials to cast **envious** glances in his direction, with the result that in less than a year an unfavourable report was sent in by a senior official stating that ... (p.68)

(C) ... but, in spite of the excellence and sufficiency of his accomplishments and abilities, he **could not escape** being **ambitious** and **overbearing**. He **failed** besides, **confident** as he was in his own merits, **in respect toward** his superiors, with the result that these officials looked upon him scornfully with the corner of the eye.

A year had hardly elapsed, when he was readily denounced in a memorial to the Throne by the High Provincial authorities, who represented that ... (pp21-22)

(boldface mine)

This passage, which is fully self-contained, forms a typical case of what I just referred to as 'non-contextual' authorial commentary. The character involved is first dramatized in Chapter One as a highly intelligent, ambitious and handsome scholar and then, in the immediately preceding context (the beginning of chapter two) presented as a compassionate and grateful administrator. The authorial commentary here 'it must be admitted that he was grasping and ruthless; moreover he was conceited (because of his ability) and was insolent to his superiors' is at once unsubstantiated and unexpected. But clearly, the reader can only take on trust the author's words. Thus the qualities 'grasping', 'ruthless', 'conceited', 'insolent', which though have little or no dramatized facts to rest on<sup>19</sup>, invariably figure as inherent traits in the character, giving to the



character complexity as well as tension and ambiguity (see note 19).

In rendering the narrator's commentary, the three translations shown above seem to form a cline of increasing subjectivity. Translation (A) presents a fairly objective rendering of the original<sup>20</sup>. Translation (B), however, displays a tendency both to tone down the vice and to highlight the virtue. If the added interpersonal adjunct 'unfortunately', which conveys the narrator's empathy, only serves to shorten the narrative distance, the additions 'a certain' and 'a tendency' apparently function to undercut the demerits involved, while the demerit 'harshness' in itself seems to occupy a point lower or weaker than 'ruthlessness' on the given linguistic scale (see Levinson, 1983:133-5). Even more notable is the change from the derogatory 'he was conceited (because of his ability) and was insolent to his superiors' to the fairly neutral 'to use his intelligence in order to outwit his superiors'. It seems arguable that, on a more general scale, (B)'s making the virtues and vices, which are actually not in direct conflict, cancel each other by the lexical choice 'offset' also functions to keep the character neutral. Furthermore, (B)'s choice of the singular and indefinite 'a senior official', instead of 'his senior officials', seems to imply personal prejudice (compare (C)'s choice of 'the High Provincial authorities') , while (B)'s selection of the epithet 'envious' seems to suggest more merits than defects on the part of the character concerned.

When it comes to translation (C), the character is shown in a more favourable light. On the one hand the strong points are unduly highlighted and, on the other, the translator seems to disguise purposefully the vices by translating, say, 'conceited' into 'confident', or 'grasping' (primarily for money) into 'ambitious' (primarily for honour or achievement) – a quality of the character which was prominently and quite positively dramatized in the preceding context. It should be apparent that the other lexical choices in boldface all function to tone down or to 'transform' the disparaging qualities

depicted in the original.

It is true that the various changes involved both in (B) and (C) could well be explained in terms of the so-called 'practical interests' discussed above. But to attribute these changes to 'practical interests' alone could be, at the very least, one-sided. To gain a fuller and clearer picture, we need to look into the matter in the light of what is called, by psychologists and critics, the 'primacy effect', i.e. the crucial effect of information situated at the beginning of a message (see Perry 1979; also Rimmon-Kenan, 1983). In determining the overall impressions of personality, the functions of the 'primacy effect' as brought out by some psychological experiments are summarized by Perry as follows (The subjects may be given just a series of personality-trait adjectives, e.g. 'intelligent - industrious - impulsive - critical - stubborn - envious'. The overall impressions thus formed are compared with the impressions formed by subjects who are given the same series but in **reverse** order.):

- (a) assimilative change of meaning: the later adjectives change their meanings as a function of the initial adjectives...;
- (b) *active* discounting process: later words change only in their importance or weight; they are given less weight because of their inconsistency with the initial words without new meanings being activated in them;
- (c) *passive* attention decrement: the subjects pay more attention to words at the beginning of the list while they are first attempting to form some impression, but once a first impression has been formed, they pay less attention to the rest of the list. According to this explanation, there is no interaction between the meanings of initial words and those occurring at the end of the list.

According to Perry, only the 'assimilative changes of meaning' (a) and the 'active discountings' (b) are operative in the literary text which is, though, based on the tension between the forces resulting from the primacy effect and the material at the **present** point of reading, rather than being constructed according to the dictates of its initial material (p.57). However, translations (B)



and (C) seem interestingly to exemplify all the three functions of the 'primacy effect'. Most of the changes made by (B) and (C), such as the relatively positive interpretations of 'shi cai wu shang' ('he was conceited (because of his ability) and was insolent to his superiors'), can be seen as a function of 'assimilative change of meaning', while (B)'s additions 'a certain' and 'a tendency' seem typically to illustrate the 'active discounting process'. The remaining function - 'passive attention decrement' whose applicability to literary texts is ruled out by Perry (for a reader of literature 'expects the sequel to enrich, modify, surprise') - also finds exemplification in (C)'s replacement of 'grasping' (for money) by 'ambitious' (for honour/achievement), where the new information is overlooked and superseded by the impression which the translator got in the preceding context.

It may be worth noting that, in the study of 'primacy effect' in impression formation, it seems misleading to focus on the order of the information structure alone. The fact that subjects who are given the series 'intelligent - industrious - impulsive - critical - stubborn - envious' form far more favourable impressions than those who are given instead 'envious - stubborn - critical - impulsive - industrious - intelligent' should be accounted for, apart from the sheer order of the message, in terms of the relevant conventions or stereotypic situations. In introducing or depicting a person (under normal or neutral circumstances), one usually mentions first the traits which are most prominent in or representative of the person. It is therefore not surprising that the traits which are placed on top of the list are crucial in determining the overall impressions of personality. Quite similarly, in a narrative text, the reader usually expects the narrator to give, at the first introduction of a character, a representative picture. In the present case, the character Jia Yucun is first presented as a highly intelligent and ambitious scholar; and it is natural for the reader to take these traits as being the most representative of

him (such assumptions may, of course, be defeated by some rhetorical mechanism in the text).

Given this premise, the 'assimilative change of meaning' referred to above could perhaps be better understood. Generally speaking, a **primarily** intelligent and industrious person is expected to display such traits as 'impulsive' or 'critical' more positively than a **primarily** envious and stubborn person. That is why given the same epithets 'impulsive' and 'critical', one group of subjects who are given 'intelligent - industrious - impulsive - critical ...' would interpret them much more positively than another group who are given instead 'envious - stubborn - critical - impulsive ...'. I believe such conventions and stereotypic situations partly underlie the fact that the primacy effect turned up with remarkable consistency in the area of impression formation.

Now, my purpose in bringing in the 'primacy effect' as a theoretical framework is basically to show that the subjectivity of the translators involved is not a sheer matter of emotional involvement (which is what Booth's 'practical interests' seem to be exclusively concerned with). Clearly, if the translator is to be objective, i.e., is to put himself successfully in the position of the author as opposed to that of the reader, he needs not only to be emotionally 'detached' but also needs to guard consciously against being misled by the relevant conventions or stereotypic situations; against being misled by the relevant stereotypic perceptual or conceptual characteristics or frames.

The changes made by the translators here do seem to bring us back to what was defined above as 'conceptual illogicality'. The incompatibility between the newly introduced negative traits and the positive traits previously presented seems to amount to violation of the relevant stereotypic conceptual frame(s). The changes made by (B) and (C) to reconcile the incompatibility could be seen, in a way, as efforts to reduce the 'conceptual illogicality' involved (the picture presented by (C): 'very competent - ambitious and



overbearing – confident – disrespect towards his superiors’ is apparently more consistent than the picture in the original). Perhaps the best way to account for these changes is to see them as a **joint** function of the relevant ‘practical interests’, ‘primacy effects’ and stereotypic conceptual frames.

This is another way of saying that, in making these changes, the translators are subjectively, though not necessarily consciously, making the text conform to their expectations, which is no doubt a regrettable act. As it is, literary effects are typically generated through deviation from, rather than conformation to, conventions or expectations. In the present case, the authorial commentary ‘Although ... he was grasping and ruthless; moreover he was conceited (because of his ability) and was insolent to his superiors’ serves to frustrate the reader’s expectations, thereby giving rise to contrast, tension and complexity. In fact, the character involved is of a highly dubious or ambiguous nature: he is both grateful (see ch. 2) and ungrateful (see ch. 4), both compassionate (see ch. 2) and ruthless (see ch. 48). Semiotically and structurally, he is symbolic of the ‘worldly’ and is set in direct contrast with another character (Zhen Shi-yin) who stands aloof from worldly affairs (see Lu Zhen-hui, 1981). Seen in this light, the character, who is marked by such worldly qualities as ‘careerism’ and ‘greed’, plays a role which is more negative than positive.

Indeed, whatever the role or function of the character, it is reasonable to argue that the translator should **objectively** carry over all the traits depicted by the original author. Ideally, a translator may treat a character as an art object and assume that significance inheres in precisely those traits, compatible or incompatible, which the author reveals, otherwise subjective colouring or ‘deceptive equivalence’ might be unavoidable.

An important, though perhaps obvious, point to notice is that the translator’s subjective colouring of one part of the text may affect the reader’s

response to the related subsequent parts, consequently giving rise to further distortions of the original. In the present case, shortly after the authorial commentary, a mention is made of 'the money accumulated during his years in office'// *'linian suo ji huan nang'* (see A above). This is translated by (A) into 'the **capital** accumulated during his years in office'; by (B) into 'the **loot** he had accumulated during his years of office'; and by (C) into 'the **savings** which he had accumulated during the several years he had been in office'. The term 'capital' in (A) indicates large possessions while (B)'s choice of 'loot' is derogatory, suggesting illicit gains or 'pillage'. Both choices are partly determined by context, i.e. associated with the character's 'cupidity' or 'grasping' nature as revealed by the authorial commentary (such an association between the character's avarice and the phrase in question will also be naturally made by a reader of the original). Clearly, a quite different picture is offered by version (C). Given (C)'s preceding replacement of 'grasping'/'cupidity' by 'ambitious' which, conditioned by the previous context, is to be taken as a matter of thirsting after honour or achievement, (C)'s present choice of 'the savings ...' seems to invite a positive interpretation, as money saved through the honest exercise of economy.

This points to the particular need to be objective in the transference of 'non-contextual' authorial commentary. Had the present commentary been based on facts of the character's greed for money, (C)'s replacing 'grasping' by 'ambitious' would not, indeed, have had any significant bearing on characterization<sup>21</sup>.

Now, in the fictional world, the author's point of view tends to be taken as authoritative, against which other points of view are evaluated. The translator's alteration in authorial commentary is therefore likely to bear on the reliability of the words of the dramatized narrator or of a character. This point is well reflected in the present case where the changes made by (B) and (C) in the



authorial commentary – particularly in the quality ‘ruthlessness’ – function to reduce the reliability of the following related speech of a character:

‘It’s all the fault of that upstart Chia Yu-tsun – the bastard deserves to starve to death!’ fumed Ping-er, grinding her teeth. ‘In the less than ten years that we’ve known him he’s stirred up endless trouble. This spring Lord Sheh happened to see a few old fans somewhere, which made him so dissatisfied with all our best fans at home that he sent men out at once to search for better ones. A wretched crank they call the Stone Idiot had twenty old fans as it happened, but though so poor that he’d hardly a bite to eat, he’d sooner die than part with them. ...  
 ‘Then that black-hearted scoundrel Chia Yu-tsun heard about it and hatched a scheme. He had the idiot taken to his Yamen on a charge of owing the government some money, and ordered the default to be made good by the sale of his property. So the fans were seized, paid for at the official price and brought to our house. As for that Stone Idiot, who knows whether he’s alive or dead? ...’ (tr. by (A): chapter 48, pp. 114–5)

The cruel action attributed to Jia Yucun, the character concerned, is not presented in the first-line narrative (i.e. not directly described by the narrator); the reader can only rely on Ping-er’s words for information (cf. note 19). In the context of the original and (A) where Jia Yucun is bluntly assessed by the author as ‘ruthless’, the reader may take Ping-er’s description as quite reliable. In (B) and (C), however, due to the relatively favourable commentary by the author who regards Jia Yucun only as ‘somewhat harsh’ or ‘overbearing’, the reader is more likely to doubt about the truth of Ping-er’s depiction.

In the discussion of the translator’s subjective colouring so far, I have been emphasizing the possibility of distorting the purported fictional reality, a possibility which is brought to the fore in the transference of ‘non-contextual’ authorial commentary. To gain a fuller picture, attention will now be directed contrastively to the following ‘contextual’ authorial commentary where the translator’s subjectivity (see B) leads to a quite different kind of distortion which likewise seems very regrettable:

(A) ... So Yu-tsun twisted the law to suit his own purpose and

passed arbitrary judgement. The Fengs received a large sum for funeral expenses and made no further objections. ... (p.61)

(B) ... **By a judicious bending of the law to suit the circumstances, Yu-cun managed to arrive at some sort of judgement** whereby the plaintiffs received substantial compensation and went off **tolerably well satisfied**. ... (p.117; boldface mine)

(C) ... Following readily the bent of his feelings, Yu-ts'un disregarded the laws, and adjudicated this suit in a random way; and as the Feng family came in for a considerable sum, with which to meet the expense for incense and the funeral, they had, after all, not very much to say (in the way of objections). ... (p.64)

What Yucun, the character has done is readily inferable from the context: in short, letting the person who has committed manslaughter go unpunished simply because of his powerful relations who are helpful to Yucun's career and whom Yucun cannot afford to offend. This unjust act can be viewed in two different ways. On the one hand, one may attribute the unjustness wholly to the circumstances. In fact, at the beginning, Yucun does intend to bring the criminal to justice. But given the criminal's powerful relations, if he had attempted to do so, he may not only have failed to punish the criminal but also may have put his own life in danger. From this perspective, what he finally decides to do can be regarded literally – rather than ironically – as 'judicious'. Nevertheless, if one sticks to the moral standard, one will still treat Yucun's act as dishonourable. This is the point of view adopted by the author who assesses Yucun's act as 'perverting the law out of his personal considerations' (*'xunqing wanfa'*), an assessment which is objectively put across by translations (A) and (C) but is notably distorted by version (B).

In effect, given the relevant dramatized facts upon which the author's commentary is based, whether the author says 'Yu-ts'un twisted the law to suit his own purpose ...' or 'by a judicious bending of the law to suit the circumstances ...' does not have any bearing on the purported fictional reality



but it does make a great difference in terms of authorial tone and stance and, not least, the reader's empathy. If in the original (see A & C), the author is, as indicated by the disparaging authorial tone, morally opposed to the character's act, in version (B), by virtue of the translator's subjective colouring, the author is made to appear to share the character's moral standard or point of view (which is apparently shared by the translator). This switch is in turn expected to bear, in varying degrees, on the readers' empathy since it is significantly conditioned by that of the author. This is just another way of saying that even if the translator's subjective colouring does not involve any distortion of the fictional reality, it may lead to distortion of such important stylistic values as authorial stance or tone and may thereby mislead the reader.

Now, the element of sympathetic identification which underlies (B)'s subjective colouring above is most frequently seen in the case of first-person narrative. Before ending this section, attention will now be directed to a passage from such a narrative, where the translator's subjectivity (see B) seems to stem typically from sympathetic identification:

(Lu) ... Wo zhidao wo jinglaide chaoguo tade lengmo,  
... I realized that my greater coldness to her recently

yijing yinqi tade youyilai. ... (p.120)  
had aroused in her worry and uncertainty. ...

(A)<sup>22</sup> The cold weather and her cold looks made it impossible for me to be comfortable at home ... Finally I found a haven in the public library ... it was closing time. I had to go back to Chichao Street, to expose myself to that icy look. Of late I had sometimes been met with warmth, but this only upset me more. I remember one evening, from Tzu-chun's eyes flashed the childlike look I had not seen for so long, as she reminded me with a smile of something that had happened at the hostel. But there was a constant look of fear in her eyes too. **The fact that I had treated her more coldly recently than she had me worried her.** Sometimes I forced myself to talk and laugh to comfort her. (p.252; boldface mine)

(B) ... I remember that one evening her eyes suddenly sparkled with childlike innocence as she talked about the days at the Guild. I detected, however, a note of fear and anxiety in her cheerful-

ness and I realized that I had become indifferent to her indifference and this, in turn, had aroused in her fear and uncertainty. I tried to smile and to give her some measure of comfort. (p.173; boldface mine)

This passage comes from Lu Xun's 'Remorse for the Past' ('Shangshi') in which the narrator/protagonist depicts regretfully his ill-fated love affair which leads to the tragic death of his girl friend. The author's impersonation in this story is marked by sympathetic identification and the reader is strongly invited to share the same point of view. The present passage takes place when a wide rift has been found between the I-narrator and his girl friend. The coming into being of this rift is attributed by 'I' entirely to 'her', to 'her' failure of understanding under the new pressure of life and to 'her' other limitations. The sentence quoted above is, in fact, the first time 'I' makes a mention of his coldness to 'her': so far the reader has been given the impression that 'she' has become unfairly and unilaterally cold towards 'I' (see A). What is striking about this first mention is that 'I' reveals not only his (recent) coldness but also his even greater coldness to 'her'. At this late revelation, the reader may feel somewhat misled so far, which could seriously affect the I-narrator's reliability – a quality which is most susceptible to doubt in the first-person narrative mode (cf. Goldknopf, 1972). This could go so far as to condition the reader's overall response to the story.

As shown above, the sentence in question is subjectively coloured in (B): the fact that 'I had treated her more coldly' is modified or toned down into 'I had become indifferent to her indifference'. Furthermore, the fact that the I-narrator had kept his own coldness or indifference in the dark is completely glossed over by a change in the phenomenon of the cognitive process 'realize': in Lu, the phenomenon contains a piece of information previously known to the narrator but kept from the reader, i.e. 'my greater coldness to her recently', whose modified form is, however, presented by (B) in the shape of new



information 'I realized that I had become indifferent to her indifference'. This change from 'given' to 'new' apparently functions to preserve the narrator's reliability or, in more precise terms, apparently constitutes a subjective colouring of the narrator's reliability.

While the translator's alteration is undoubtedly motivated by sympathetic identification, one must not overlook the possible function of the so-called 'primacy effect'. The impression up to that point that 'she' had become unfairly and unilaterally cold towards 'I' could in itself make it difficult for the translator to accept the fact that 'I' had actually treated her more coldly recently. Again, the translator's alteration could be seen as a matter of making the text conform to his expectations.

From the discussion in this section, it is, I hope, clear that in order to avoid distortion of the original, a translator has to guard consciously against being misled by his emotional involvement as a reader (i.e. sympathetic identification or, on a wider scale, 'practical interests') and against being misled by various perceptual or conceptual characteristics, such as the 'primacy effect'. Otherwise subjective colouring or 'deceptive equivalence' may be unavoidable.

### 6.3. RELIABILITY

Fictional reliability, or rather unreliability, forms an essential aspect of narrative style. Though of a complex nature, it is primarily a question of the source of the narration: is it narrated from the point of view of the implied author, a dramatized narrator or a certain character? Insofar as traditional novels are concerned, the implied author or his unequivocal spokesman enjoys, by convention, 'absolute' reliability (see Booth, 1961). A dramatized narrator, though, is fallible and greater unreliability may arise when it comes to a character.

It seems that, in discussing reliability, critical attention tends to focus on

the communication model, that is, on the (un)reliability of the narrator or narratee (see Booth, 1961; Chatman, 1978; Yacobi, 1981; Rimmon-Kenan, 1983). In this section, however, much emphasis is placed on the unreliability of the character as a reflecting versus a speaking entity. If a narrator's unreliability serves to characterize the mind of the narrator, the unreliability of a character naturally bears on characterization in the usual sense of the word. Like a narrator's unreliability, a character's unreliability may stem from a whole host of causes, including personal experience, an unacceptable value-scheme (especially when the role is unsympathetic or negative) or sheer ignorance.

In fictional discourse, different kinds or degrees of reliability are appropriate to different purposes of characterization, to the revelation of authorial stance or attitude, to the regulation of the reader's distance or empathy and, not least, to the secret communication between the author and the reader.

In translation, reliability forms an area which is frequently subjected to alteration. This is often brought about by a shift in presentational mode or, in more general terms, by a purposeful or unconscious process of objectifying or subjectifying the propositional content. Interestingly, the shift in presentational mode here is typically motivated by the translator's identification with the implied author (cf. Leggett, 1934:118; Goodman, 1954:153). If the translator disagrees with a point of view, he may try and dissociate the author from it by attributing it explicitly to a character or characters, thus reducing the credibility of the narration. If, on the other hand, he shares a point of view, he tends to increase its credibility by changing the presentational mode into that of reliable authorial statement or commentary. In terms of the former kind of move – that of dissociating the author, the following passage from Cao's A Dream of Red Chamber (Honglou Meng) is a case in point:

(A)<sup>23</sup> (Now although all the pupils in this school were members of the Chia clan or relations by marriage, as the proverb so aptly



says, 'A dragon begets nine offspring, each one different.' And inevitably among so many boys there were low types too, snakes mixed up with dragons.) These two new arrivals were both remarkably handsome. Chin Chung was bashful and gentle, so shy that he blushed like a girl before he spoke, while Pao-yu was naturally self-effacing and modest, considerate to others and pleasant in his speech. And they were on such intimate terms, it was no wonder that their schoolmates suspected the worst. They began to talk about the pair behind their backs, spreading ugly rumours inside the school and out... (p.136)

(B)<sup>24</sup> (...) The two new boys, Qin Zhong and Bao-yu, were both as beautiful as flowers; **the other scholars observed** how shrinking and gentle Qin Zhong was, blushing almost before you spoke to him and timid and bashful as a girl; **they saw in** Bao-yu one whom nature and habit had made humble and accommodating in spite of his social position, always willing to defer to others in the interest of harmony; **they observed** his affectionate disposition and familiar manner of speech; and **they could see** that the two friends were devoted to each other. **Perhaps** it is not to be wondered at that **these observations** should have given rise to certain suspicions in the minds of **those ill-bred persons**, and that both in school and out of it all kinds of ugly rumours should have circulated behind their backs... (pp. 206-7; boldface mine)

In (B), except the first, the perception processes, which are marked by boldface, all form the translator's additions. Although the first perception verb 'observed' is translated from Cao's 'you jian' ('also see'), such perception verbs are often to be missed out in translation, for they are peculiar to the Chinese story-telling tradition. In classical Chinese novels which have developed from scripts for story-telling, there are frequently found such perception phrases as 'dan jian', 'zhi jian' ('only see') or 'you jian' ('also see'). As a sort of tag peculiar to the story-teller, they differ significantly from normal perception verbs in that they not only function as devices to draw the audience right into the middle of the scene but also serve to indicate objective observation by **the narrator** as well as the reflecting character(s). Primarily because of the narrator's definite commitment to the perception, perception phrases as such, which do not have counterparts in English fiction, are normally missed out, with the original perception processes translated into objective/straightforward narration

(compare (B)'s 'the other scholars observed how shrinking and gentle Qin Zhong was' with (A)'s 'CHin Chung was bashful and gentle').

This interlingual stylistic difference is in fact well known to (B). In translating Cao's Chapter Three, for example, (B) has omitted five out of six 'zhi jian' ('only see'), one out of two 'hu jian' ('suddenly see') and the only 'guo jian' ('see as expected'). But what is striking about (B)'s treatment of the present passage is not its preservation of the perception phrase in question, but its addition of the subsequent perception verbs. As a result, the original authorial narrator's commentary (see A) is carried across into the characters' perception processes.

Insofar as evaluation or judgement is concerned (an area where one's prejudices and predispositions are most likely to come into play), the placing of a description explicitly within a character's sensory frame tends to have, as regards the authorial narrator, a distancing effect. Compare:

- (a) He went into the church.
- (b) She saw him go into the church.
- (c) He was a kind man.
- (d) She saw him as a kind man.

While 'her' perception in (b) is very unlikely to differ from that of the narrator, 'her' perception in (d) is liable to be biased. This accounts for the fact that while it sounds odd to say 'she saw him go into the church but actually he didn't', it is perfectly natural to claim 'she saw him as a kind man but actually he wasn't (or: but I didn't think so)'. In the present case, (B)'s rendering Cao's authorial narrator's commentary into the characters' perception processes apparently distances the narrator from the judgement, an effect strengthened in part by the added interpersonal adjunct 'perhaps' and, more significantly, by the fact that Cao's narrator habitually passes **direct** judgement on characters, against which norm the **indirect** evaluation is foregrounded.



(B)'s alteration of the source of the judgement (thereby reducing its reliability) actually brings us back to the matter of 'objectivity' discussed above. The two characters being commented on – Baoyu (the hero) and Qin Zhong – are both sympathetic and are depicted quite consistently in a favourable light; but, as hinted here, they are not without frailties (cf. note 25). In this context, these traits of theirs clearly take on negative implications. And the translator, who apparently favours the two characters and who cannot therefore fully come to terms with the negative implications, distances the author, and derivatively himself, from the commentary and makes it appear suspect. Clearly, (B)'s changing Cao's 'those schoolmates of theirs' (*'na qi tonchuang ren*) into 'those ill-bred persons' functions to distance the authorial narrator from the 'certain suspicions' whose credibility is also thus reduced<sup>25</sup>.

As a natural consequence of (B)'s change in reliability, there comes a shift in authorial stance. In Cao, the authorial narrator is marked by impartiality towards Baoyu and Qin Zhong, an effect emphatically conveyed by 'And they were on such intimate terms, **it was no wonder that...**' (*'Yin ta liangren you zheban qinhou, ye yuan bude ...'*). In (B), as the authorial narrator is distanced, the characters are in a sense made to function within their own frame, with the possible implication that the narrator, who, against the presentational norm in the novel, appears to dissociate himself deliberately at this moment, has a more favourable view of Qin and Bao than their schoolmates, particularly 'those ill-bred persons'. All these changes inevitably bear on characterization, on the degree of tension and ambiguity found in the characters and on the reader's attitude towards them.

Now, in the translation of fiction, alteration in reliability is often found in the change from narrative report to free indirect speech/thought, or vice versa (see note 26). The move from narrative report to FIS/T typically occurs when an unsympathetic character's point of view is integrated into the narrative

plane, subtly generating the effect of ironic distance. If the translator finds it hard to accept the given point of view, he tends to mark it off from the narrative plane by changing it into FIS/T through the addition of speech features, as shown by the following translations (B) and (C) of a passage from Lao She's Rickshaw Boy (Luotuo Xiangzi):

(A)<sup>27</sup> 1. His wrath then turned a corner; 2. the more he looked at his daughter the less she pleased his eyes. 3. Happy Boy was sitting inside the mat-shed, 4. a fool with the form of a man and the face of a dog; 5. the light that issued from the endless hissing of the acetylene lamp made the scar on his face green in colour, like a piece of jade stone. ... (p.136; see note 28)

(B) 1. Then his rage turned a corner. 2. The more he looked at his daughter, the less she pleased his eye. 3. **And there was that Hsiang Tzu** sitting inside the mat shed: 4. a man in shape but a dog by nature. 5. The greenish light made the scar on his face resemble a bit of jade. 6. The more the old man looked at the two of them the more revolting they were! (p.133; boldface mine)

(C) 1. So his anger switched to his daughter, 2. who grew more and more obnoxious in his eyes. 3. Xiangzi was sitting in the marquee. 4. **What an ugly blighter he was,** 5. **with that scar on his face jade-green in the lamplight!** 6. **What a thoroughly repulsive pair they were!** (p.139; boldface mine)

The mode employed by Lao in this passage is consistently that of narrative report (see A). While clauses 1 to 3 present reliable description by the authorial narrator, clause 4 embodies a viewpoint which conflicts with that of the narrator. In the context of the novel where the narrator's sympathy rests throughout on Xiangzi – the positive protagonist, the abusive language found in 4 can only have originated from the unsympathetic reflecting character. The narrator, that is to say, is mimicking in 4 and perhaps 5 the point of view or the evaluating consciousness of the negative character, before resuming reliable narration in 6 (see note 28).

The subtle integration of the unsympathetic point of view into the plane of narrative report generates an effect of ironic distancing which is at once



implicit and penetrating (compare: 'To him, Xiangzi looked like...'). As the reader expects the narrator's reliable description in 4, the sudden realization that the description is in fact opposed to the narrator's viewpoint produces a shock which serves to reinforce the ironic distance. Furthermore, the conflict between the superficial reliability (the narrative mode) and the actual unreliability (the narrative content) gives rise to tension and textual intensity quite characteristic of literary discourse.

Unfortunately, these effects, which come from the gap between a reliable appearance and an unreliable 'reality', are undercut in (B) and dissolved in (C): the former, by adding 'And there was that', changes the mode in 3-4 and perhaps 5 from NR to FIT, while the latter more strikingly marks the character's viewpoint off from the narrative plane by the progressive exclamations 'What ...! What ...!'.

Now, in translation, alteration in reliability is in fact more frequently reflected in the reverse process, that is, in the change from FIT to NR. This typically takes place when the FIT embodies a viewpoint agreeable to the translator who does not therefore hesitate to use the mode of reliable authorial statement. Compare the following (C) with (A) and (B):

(Lao) Zheme dade ren, lashang name meide che,                      ta zijide che,  
Such a big man, pulling such a beautiful rickshaw, his own rickshaw,

gongzi ruande chanyou chanyoude,                      lian cheba dou weiweide  
the springs were so flexible that they bounced, even the shafts slightly

dongtan; chexiang shi name liang, dianzi shi name bai, laba shi  
wavered; the body was so shiny, the cushion was so white, the horn was

name xiang; paode bu kuai zenneng duideqi zijine,                      zenneng  
so loud; if he didn't run fast how could he face himself, how could

duideqi na liang chene? (Rickshaw Boy/Luotuo Xiangzi, p.11)  
he face this rickshaw [of his]?

(A)<sup>29</sup> How could a man so tall, pulling such a gorgeous rickshaw, his own rickshaw too, with such gently rebounding springs and shafts that barely wavered, **such a gleaming body, such a white cushion,**

**such a sonorous horn**, face himself if he did not run hard? How could he face his rickshaw? (p.11)

(B) A fellow as big as that, pulling a rickshaw as beautiful as his rickshaw was – his own rickshaw, with soft springs bouncing as he went along, so that even the shafts shook a little in his hands, with the back of the seat **so brightly polished, the cushion so white, and the horn so loud** – if he just dragged along and didn't run fast, how could he face himself? How could he face his rickshaw? (p.13)

(C) (Everytime he had to duck through a low street-gate or door, his heart would swell with silent satisfaction at the knowledge that he was still growing. It tickled him to feel already an adult and yet still a child.)

With his brawn and his beautiful rickshaw – springs so flexible that the shafts seemed to vibrate; **bright chassis, clean, white cushion and loud horn** – he owed it to them both to run really fast. (This was not out of vanity but a sense of duty. For after six months this lovable rickshaw of his seemed alive to what he was doing...) (p.18)

(boldface mine)

Both (A) and (B) convey well the original presentational mode of FIT, with (B) approximating closer to the original syntax. In (C), however, there is found a shift in mode to that of authorial statement, a shift reflected in the removal of all the positive features of thought, including the replacement of the interrogative forms by the statement 'he owed it to them both to run really fast'; and a shift backed up by the fact that both the preceding and following contexts of (C) contain authorial statement.

The contrast between Lao (A,B) and (C) thus formed is in fact of a most significant kind in narrative fiction. In a third-person novel like the present one, the authorial narrator and the character(s) present, by convention, the two opposite poles of fictional objectivity (reliability) and subjectivity (potential or actual unreliability). The distinction between Lao's 'such a big man, pulling such a beautiful rickshaw' and (C)'s 'with his brawn and his beautiful rickshaw' could be assumed as one between subjective evaluation and objective description. Seen in this light, it is no accident that Lao's emotively charged 'the body was so shiny, the cushion was so white, the horn was so loud' is



rendered by (C) into the fairly neutral 'bright chassis, clean white cushion and loud horn' which indicates a sober objectivity of presentation.

Objectification of this sort involves many consequences which will be dealt with in some detail in 8.7.. Attention will be focused here on the issue of reliability as such. In fictional discourse, a character's particular point of view is frequently and most effectively brought out through his unreliable evaluation or interpretation. In the present case, the protagonist's evaluation of his rickshaw, which is to him his very life, is undoubtedly partial. The intensified 'so shiny, ...so white, ...so loud' points to the protagonist's extreme love for his own rickshaw which has cost him 'at least three or four years' of hard toil and on which he pins all his hopes.

As is clear from the present case, the mode of FIS/T offers a congenial vehicle for putting across such unreliable evaluation. Given the mode of authorial statement chosen by (C), if (C) had tried to convey Lao's intensifiers by a version like 'very bright chassis, extremely clean white cushion and very loud horn', it might still be taken as a reliable description (from a perspective shared by the narrator and the character). Indeed, what underlies (C)'s suppression of the intensifiers may well be an awareness of the partiality/unreliability involved in the character's evaluation. But unfortunately (C) does not seem to be aware that such unreliability forms a locus of the character's feelings and has a significant part to play in characterization.

The potential unreliability inherent in FIS/T as a mode in itself also bears on characterization (cf. 8.6.). If 'with his brawn and his beautiful rickshaw' appeared in the mode of FIT, it would immediately lose its factual status, since the propositional content of FIS/T is no more than 'an assertion or presupposition of a fallible or unreliable SELF' (Banfield, 1982:218; see also Pascal 1977:50). The reader would perhaps discern in this then potentially unreliable assertion or reflection the character's self-confidence,

self-complacency or even vanity. The effect is much more obvious in Lao and (A,B) where the lexical and syntactic choices argue a stronger SELF of the character, thus making for a potentially greater unreliability and thus arousing in the reader a stronger sense of the character's confidence, pride or complacency. These feelings are in effect pertinent to a larger thematic pattern which has on the one hand the character's overestimation of, or blind faith in, his own strength and will and, on the other, the futility of all his efforts in a ruthless social environment, with a tragic note struck in the stark contrast between the two. It is clear that (C)'s rendering reliable/factual the propositional content concerned is regrettable; it leads to the suppression of the character's particular point of view, to the suppression of the unstated yet discernible feelings of the unreliable SELF.

Given that unreliability as such is ascribable to the particularity of the SELF, the more unreliable a judgement is, the more effectively it may function to characterize the individual consciousness involved. In the following translation (A), which faithfully conveys the original, the character's opinion departs drastically from the norm to the point of bordering on absurdity. This deviation or unreliability, which has an important role to play in characterization, is unfortunately undermined by version (B):

(A) Hsiang Tzu seemed to have forgotten the farmer's life he once led. He didn't much care if the fighting ruined the crops and didn't pay much attention to the presence or absence of spring rain. All he was concerned about was his rickshaw; his rickshaw could **produce** wheat cakes and everything else he ate. **It was an all-powerful field which followed obediently after him, a piece of animated, precious earth.** (tr. from Lao She's Luotuo Xiangzi by J.M. James, pp.12-3; boldface mine)

(B) Xiangzi seemed to have forgotten that he had once tilled the fields and did not much care if war devastated the crops or if there were no spring rain. His sole concern was his rickshaw. This could **provide** griddle cakes and all sorts of food; **it was a horn of plenty which followed him meekly around.** (tr. by Xiaoqing Shi, p.19; boldface mine)



In (A) and in the original, the far-fetched comparison of the rickshaw to a powerful living field tellingly brings out the individual mentality of the protagonist, a country boy marked by a lovable simplicity. The somewhat redundant '[it was] a piece of animated, precious earth' which occupies the prominent end-focus position puts an emphasis on his simple farmer's mentality. Interestingly, the preceding statement only functions to reinforce the particularity of the mind thus revealed: he may have forgotten the farmer's life he once led, he may no longer be concerned with farming, yet deep in his brain there remains firmly unaltered his farmer's outlook. This is not stubbornness but simplicity, simplicity to such an extreme that it leads not only to the choice of a piece of earth as the vehicle but also to its naive personification.

This far-fetched and therefore unreliable metaphor is to a great extent normalized by (B). In fact, normalization begins in the earlier replacement of 'produce' (suggestive of farmland) by 'provide'. The highly personal vehicle concerned is rendered by (B) into the much more conventional 'a horn of plenty'. Given that a horn is, in sharp contrast with a field, literally movable, (B)'s 'which followed him meekly around' also becomes much more sensible than its counterpart in (A) and the original. As a result, not only does the metaphor fail to convey the naive farmer's view of the protagonist, the preceding statement also takes on a function contrary to that intended by the original: it now serves merely to emphasize that the character's world-view is no longer a farmer's. This is a distortion. It is particularly regrettable in the light of the fact that, despite the frequent reference to the protagonist's having come from the countryside, this is the only occasion which directly reveals his mentality as characteristic of a farmer.

Now, like many other issues discussed in the present study, the issue of reliability may be further complicated by linguistic and stylistic differences

between Chinese and English. A most relevant difference is the frequent omission of subjects and determiners in Chinese, which may give rise to ambiguity as regards who functions as the reflector at a given point of the narration. Since reliability has primarily to do with point of view, the translator's alteration in the experiencing source, which is likely to occur given ambiguity as such, may have a significant bearing on reliability. This point finds its telling illustration in the following passage taken from Cao's A Dream of Red Chamber (Honglou Meng):

(Cao) Zhou Rui jiade cai chuqu lingle tamen jinlai.

1. Zhou Rui's wife accordingly went out to lead them [Granny Lui and  
shangle zhengfang taijie,  
her grandson] in. 2. [They] mounted the steps to the main reception room,

xiao yatou daqi xinghong zhan lian, cai ru  
3. a little maid lifted up a scarlet felt portiere, 4. soon as [they]

tangwu, zhi weng yizhen xiang pule lianlai,  
entered the room, [they] just smelled a waft of perfume [which] greeted

jing bu zhi shi he qiwei,  
[their] faces, 5. [Granny Lui] even did not know what odour it was,

shenzi jiu xiang zai yunduanli yiban, man wulide  
6. [her] body just seemed to be high in the clouds, 7. [to her] everything

dongxi dou shi yaoyan zhengguang, shi ren touyun muxuan,  
in the room was dazzling and glittering, making one feel dizzy and dazzled,

Liu laolao cishi zhiyou diantou, zazui  
8. Granny Liu at this moment could only nod her head, smack her lips

nianfo eryi. (p.73)  
and pray to Buddha.

(A)<sup>30</sup> 1. accordingly Mrs. Chou went out to fetch them. 2. As they mounted the steps to the main reception room, 3. a young maid raised a red wool portiere 4. and a waft of perfume greeted them as they entered. 5. Granny Liu did not know what it was 6. but felt she was walking on air. 7. And she was so dazzled by everything in the room that her head began to swim. 8. She could only nod, smack her lips and cry 'Gracious Buddha!' (p.94)

(B) 1. Zhou Rui's wife went off again to fetch her charges. 2. As they ascended the steps to the main reception room, 3. a little maid lifted up the red carpet which served as a portiere for them to enter.



4. & 5. A **strange**, delicious fragrance seemed to reach forward and enfold them as they entered, 6. producing in Grannie Liu the momentary sensation that she had been transported bodily to one of the celestial paradises. 7. **Their** eyes, too, were dazzeled by the bright and glittering things that filled the room. 8. Temporarily speechless with wonder, Grannie Liu stood wagging her head, alternating clicks of admiration with pious ejaculations. (p.157)

(C) 1. Chou Jui's wife thereupon went out and led them in. 2. When they ascended the steps of the main apartment, 3. a young waiting-maid raised a red woollen portiere, 4. and as soon as they entered the hall, they smelt a whiff of perfume as it came wafted into their faces: 5. what the scent was **they** could not discriminate; 6. but **their** persons felt as if **they** were among the clouds. 7. The articles of furniture and ornaments in the whole room were all so brilliant to the sight, and so vying in splendor that they made the head to swim and the eyes to blink, 8. and old goody Liu did nothing else the while than nod her head, smack her lips and invoke Buddha. (p.97)

(boldface mine)

This passage depicts one scene from the first visit by Granny Liu – a country bumpkin – to the magnificent Rongguo Mansion in the capital. From these few lines one may get a sense of the well-intentioned authorial irony directed at the ignorance of Granny Liu which is brought out almost caricaturally through her unreliable perception coupled with bizarre reaction, an unreliability which in turn reflects the huge gap in living standards between the city rich and the country poor. (See note 31 for Granny Liu's funny perception of a pendulum clock, which in a sense recalls the primitive perception of Lok in William Golding's The Inheritors.)

As illustrated here, the frequent subject and determiner omission allowable in Chinese can add much subtlety to the change from a reliable to an unreliable point of view. The fact that from clause 5 the point of view is shifted exclusively to that of Granny Liu is not spelt out but to be inferred by the reader from the narrative content. Of the three persons who entered the reception room: Zhou Rui's wife, Granny Liu and her grandson, the first is a high-rank servant in the Rong Mansion and so the experience depicted in 5–7 does not apply to her (notice the concessive adjunct 'even' which conveys the

narrator's surprise at or emphasis on the ignorance involved). Given that the five-year old boy's point of view is consistently suppressed, the reflector in 5-7 should be exclusively Granny Liu.

The most notable effect of this exclusion is dramatic irony. The superior narrator and the (implied) reader share their amusement at the 'coloured' perception of this country bumpkin and derive even greater fun from her bizarre reactions. Although the irony ultimately depends on the distance that separates Granny Liu from the author/reader, in the immediate narrative context, it stems from the gap between Granny Liu and the excluded potential reflector Mrs Zhou who comes much closer to the author's norms. Now, Cao's keeping implicit the exclusion in question seems to generate not only subtlety but also textual tension and a shock effect which accompanies the reader's realization of the dramatic irony involved.

In translating into English, however, not only cannot such subtlety and shock effect be preserved (in that the omitted subjects and determiners have to be spelt out), but the very implicitness of the exclusion lays a trap for the translators. Of the three translations of Cao, only (A) emerges free from the trap while (B) partially escapes it and (C) fully falls into it. In terms of (A) it should be noted that, since the butt of the irony lies in the interaction between Liu's 'coloured' perception and her bizarre reaction, (A)'s omission of the earlier part of Cao's 7 which exhibits the former seems to involve some loss of irony (cf. (C)'s treatment of Cao's 7).

As for (B), it preserves well the dramatic irony in 6 by limiting the bizarre reaction to Liu but it fails to do so in treating Cao's 5 and 7. The former is transformed by (B) into the epithet 'strange' which is made to appear as a reliable evaluation shared by the narrator and the characters rather than as a locus of Liu's own ignorance. No less regrettable is (B)'s choice of the plural determiner 'their' in 7 which bridges the intended gap between Liu and Zhou



thereby leading to another partial loss of the dramatic irony.

In version (C), the consistent choice of the plural anaphoric 'they/their' leaves in 5-6 no perceptual or responsive distance between Mrs Zhou (one of the Mansion's household) and Granny Liu (a country bumpkin on her first visit to the Mansion). As a result, what is depicted in 7 (where no personal pronoun appears) no longer takes on Liu's subjective colouring but figures as a reliable description by the narrator. It seems worth noting that in translating into English, subjective colouring of this kind which is implicit yet discernible in Chinese may have to be explicitly signalled by means like 'to her' (for exemplification, see note 32). Interestingly, as the preceding perception and response are made to appear as credible or natural, Liu's reaction presented in 8 also seems to lose its bizarre nature, thus making for a further departure from the ironic effect of Cao. The point to stress here is that in specifying the implicit subjects and determiners, the translator has to take into account not only the participants superficially involved but also the given degree or kind of reliability pertaining to each participant and its bearing on what is presented. Only in this way can the translator in circumstances like the present one succeed in picking out the actual reflecting source and in preserving the narrative distance created by the original author.

Now, to add a new dimension to the present discussion of reliability, I would like to bring in a case from a first person retrospective narration where the issue of reliability typically centres round the twofold perspective of the same person: the unreliable point of view of the experiencing self and the relatively reliable point of view of the narrating self. The case is taken from Lu Xun's 'Shangshi' ('Remorse for the Past') which depicts a tragic love affair:

(Lu) ...  
 Anning he xingfu shi yao ninggude,                      yongjiu shi  
 tranquillity and happiness would solidify, it would forever be

zheyang de anning he xingfu. ... (p.113)  
so tranquil and happy. ...

(A)<sup>33</sup> As the days passed, Tzu-chun became more lively. However, she didn't like flowers.... She had a liking for animals, though, which she may have picked up from the official's wife; and in less than a month our household was greatly increased.... there was a spotted dog, bought at the fair. I believe he had a name to begin with, but Tzu-chun gave him a new one – Ahsui. And I called him Ahsui too, though I didn't like the name.

It is true that love must be constantly renewed, must grow and create. When I spoke of this to Tzu-chun, she nodded understandingly.

Ah, what peaceful, happy evenings those were!

**tranquillity and happiness must be consolidated, so that they may last forever.** When we were in the hostel, we had occasional differences of opinion or misunderstandings; but after we moved into Chichao Street even these slight differences vanished. We just sat opposite each other in the lamplight, reminiscing, savouring again the joy of the new harmony which followed our disputes. (p.244)

(B) ...

This is true: Love must be renewed, must be made to grow, must be creative. When I told Tzu-chun this, she nodded understandingly.

Ah, what quiet, happy nights those were!

**But peace and happiness have a way of stagnating and becoming monotonous.** When we were at the Provincial Guild we used to have occasional differences and misunderstandings, but since we had come to Chi-chao Hutung there was not even this. We merely sat facing each other by the lamp and ruminated over the joy of reconciliation after those clashes. (pp.164-5)

(boldface mine)

The parts marked by boldface in (A) and (B) have been translated from the same statement in Lu. The notable antithetical element between the two different renderings, which may puzzle the reader, stems from the unreliability associated with the original. The assertive 'tranquillity and happiness would solidify, it would forever be so tranquil and happy' does not tally with the tragic death of their love which comes to light later on. What is shown in this assertion is most plausibly the narrator/protagonist's false hope at the height of their love. Its unqualified form means that the narrator has at this moment abandoned his external/retrospective focalization in favour of the internal/experiencing one (compare: 'at that time I falsely believed that...').

As this shift in focalization is kept implicit so that the foregone illusion



passes off as an assertion committed to by the present narrating self, which is therefore easily taken on trust by the reader, the shift rhetorically heightens the tragic contrast between illusion and disillusion about love by luring the reader deeper into the illusion. However this shift is not necessarily purposeful: perhaps the narrator is for the moment unconsciously indulging himself in the false hope he once cherished, an illusion typical of this idealistic intellectual who is constantly immersed in impractical dreams. In this connection, it may be noted that the present passage (see A) seems to be the least coherent and most spontaneous of the text (notice the lack of logical link between paragraphs one, two and three). But no matter whether we take this shift as intentional or unconscious, the rhetorical effect of deepening the tragedy in virtue of temporarily misleading the reader remains unaltered.

Interestingly, the past illusion in question is not totally uncoloured by later reality. An ominous shadow may be discerned in the dubious nature of the term 'solidify' (*'ninggu'*), especially in the light of the preceding emphasis on the renewal and growth of love. This contrastive emphasis seems to foreground the narrator's retrospective understanding, with the retrospective nature highlighted in both translations by the switch to the present tense. It is true that the past experiencing self did acquire such an understanding, but it is not surprising that during the height of their love he also hoped that the existing peace and happiness would last forever.

The contradiction between the experiencing self's beliefs, the possibly unconscious shift from the external/reliable to the internal/unreliable focalization and the opposition between the positive and ominous sides of 'solidify' combine to add to the text much authenticity. For such multiple contrasts with their tension, ambiguity and complexity are just characteristic of the fallible and indeterminate self, which the text seeks to lay bare.

Such contrasts are suppressed in both translations. In (A), the contradiction

between the emphasis on the renewal of love and the longing for the eternity of the existing love is reconciled in the echoing between the two '...must be...'s (surely, 'to renew' is, insofar as love is concerned, a form of consolidation). The unreliability pertaining to Lu's prediction is discarded by (A) through the modal auxiliaries 'must' and 'may' coupled with the subordinator 'so that'. Even more radical changes are found in (B) where only the gloomy side of Lu's 'solidify' ('ninggu') is preserved and elaborated into 'stagnating and becoming monotonous' with the negative nature underlined by the added adversative 'but'. Further, Lu's unreliable 'it would forever be so tranquil and happy' is simply omitted. Indeed, both (A) and (B) seem to have turned Lu's foregone illusion into a general truth, realized particularly if not exclusively by the present narrating self. If (A)'s rendering merely leads to the loss of the rhetorical effect of deepening the tragedy as referred to above, (B)'s rendering goes even further to the point of weakening the tragic contrast between illusion and disillusion by untimely preparing the reader for the latter. In fact, this untimely warning in (B) has, as a side effect, cast a shadow on the immediately following context, with the pleasing occasion depicted in Lu (and A) now made to exemplify, though not quite fittingly, the monotony of love.

But what suffers most is the picture of the self. The indeterminate and idealistic self, who even seems to indulge in the already dashed hope, is made by (B) to appear as a consistent and rational being who soberly faces the reality. The distortion is of course only local. But given that a literary text is an organic whole, local distortions inevitably bear on the overall effect.

In conclusion, I would like to stress that, when an authorial narrator is found passing unfavourable comment on some sympathetic character(s); when a negative viewpoint is represented through a reliable narrative mode; when a character's opinion is seen as exaggerating or weird; when contradictory beliefs of the same self are found at close range or when an assertion is belied by



reality, the translator should, before making any change in reliability, carefully consider the underlying reasons or motivations, consider the immediate effects in relation to the work's larger functional design. As illustrated above, deviations in terms of reliability may have a significant role to play in revealing or reinforcing authorial stance, in characterizing a particular consciousness or, in more general terms, in fulfilling the work's thematic and aesthetic goals.

#### 6.4. 'REDUNDANT' ENCODING

Having examined how 'illogical' or unreliable elements function to generate stylistic values, we now come to the correlation between 'redundant' encoding and the resultant literary effects. The redundancy in question is of course not that which is conventionalized in the use of language<sup>34</sup> but that which deviates from the conventional norm.

##### 6.4.1. Encoding a Normally Presupposed Process

Conventions about the use of language often seem to operate on the basis of presupposition. Given a clause 'he saw John over there', it is very probable that this perception process presupposes a process of identification from, say, 'a man' to 'John'. In fact, in depicting a perception process, the process of identification entailed in it is normally not spelt out. This may shed some light on the interpretation of the following case from Conrad's The Secret Agent:

She saw there an object. That object was the gallows.  
She was afraid of the gallows.

The case is quoted by Leech and Short to illustrate occasions where 'simple sentences are just what is needed'. They write,

These three sentences occur at the climactic point in the novel where Mrs Verloc realizes the full consequence of her action in murdering her husband. They record with brutal simplicity and

clarity the three separate impressions (perception of object – identification of object – fear of object) which pass through Mrs Verloc's mind in logical progression, dramatising the mounting horror of her discovery. The dramatic force of this step-by-step revelation would be dissipated in a complex sentence such as 'She saw there an object she was afraid of – the gallows' or 'The object she saw there – the gallows – frightened her'. (1981:219–20)

But I would like to suggest, from a different perspective, that the stylistic effect generated comes from 'redundant' encoding and would be dissipated once the 'redundant' part were omitted:

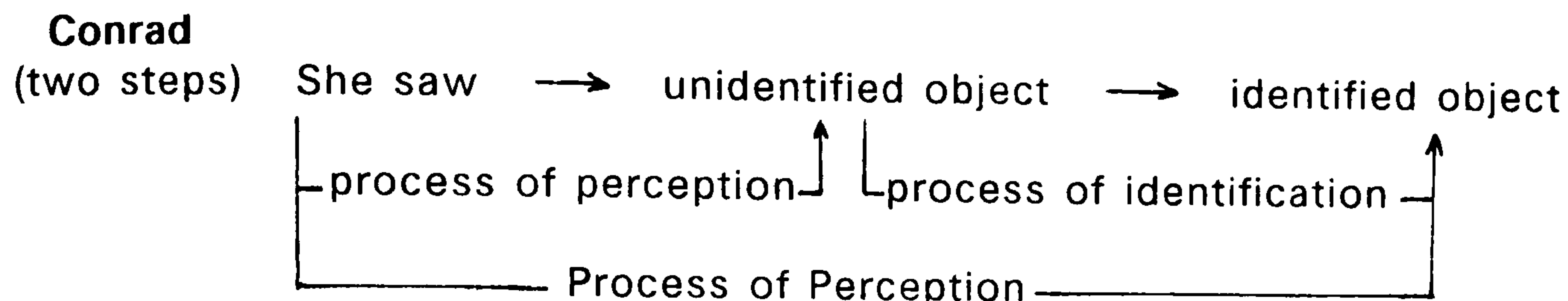
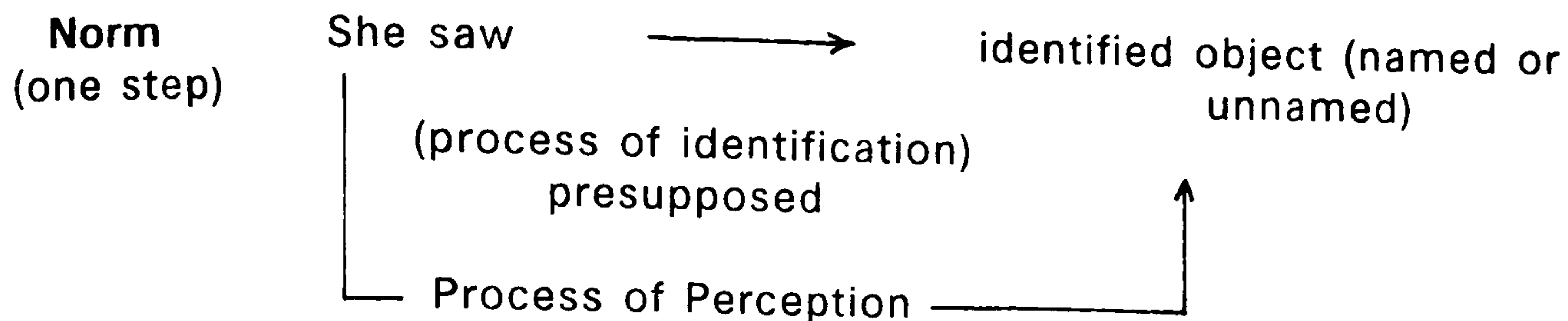
She saw there the gallows. She was afraid of the gallows.

The amount of information conveyed remains the same, the mode of narration unchanged (still 'showing'), the sentence structure is as simple and the psychological sequencing unaltered, but the dramatising stylistic effect has evaporated. Perhaps my suggestion could be further backed up by the fact that Leech and Short's alternatives, whose complex structure is deemed responsible for the dissipation of the dramatic effect, **no longer** exhibit 'redundant' encoding. Compare a similar set of statements:

- a) She saw there the thing she was looking for – her pen.
- b) The thing she saw there – her pen – was what she was looking for.
- c) She saw there a thing. That thing was her pen. She was looking for her pen.
- d) She saw there her pen. She was looking for her pen.

Of these, only c) displays 'redundant' encoding. For the process of identification recorded in c) is presupposed in its alternatives. Clearly, 'the thing' in 'the thing she was looking for' (or, similarly, 'an object' in 'an object she was afraid of') is already identified, though unnamed. The same, though in a less obvious form, goes for b). As the **process** of identification is normally presupposed by this or that form, its being recorded in Conrad appears to be foregrounded:





(Note: This only applies to cases where the object is more or less readily identifiable and where the identification does not involve any other process(es). Compare: 'He saw something in the grass. He went nearer and found that it was a cat.' where no 'redundant' encoding is involved.)

Against the norm, the description in Conrad takes on the notable effect of slowing down the perception process, which helps to reveal, gradually and emphatically, the mounting horror of Mrs Verloc's discovery. Closely related to this, but distinct from this, is the effect of suspense. As the reader expects, by convention, an identified object after the perception verb, the appearance of an unidentified object naturally leads to suspense. The uncertainty is then contradicted by the **marked** demonstrative 'that' (note the difference that would obtain if the unmarked anaphoric 'it' or 'the' were used instead). The paradox thus generated makes the reader all the more eager to identify **that** object. The revelation of 'the gallows' thereby becomes psychologically much more prominent or, in more precise terms, much more shocking.

In terms of syntax, the use of three independent sentences lends support not only to the slowing down of the perception process but also to the heightening of suspense. For the full stop after 'object' has the effect of making 'She saw there an object.' appear as a self-contained perception process, thereby giving rise to great suspense concerning the identification of

the object. Notice the difference obtained if the syntax is changed into:

She saw there an object which was the gallows...

This apparently undercuts the effect of suspense.

It seems arguable that, in terms of modes of narration, 'She saw there an object. That object was the gallows.' could be given a different interpretation. We may take 'She saw there an object.' as Mrs Verloc's whole perception process and 'that object was the gallows' as the narrator's explanation rather than Mrs Verloc's mental impression. In that case, the whole focus would fall on the use of referring expression, that is, on the narrator's deliberately using 'an object' instead of 'the gallows' so as to create momentarily the effect of suspense. The deviation would then be a matter of 'flouting' the Gricean maxim of quantity. The point may become clearer if we have a look at the following case:

He saw    a) something    b) a human being    c) a man    d) John  
(with a, b, c, d sharing the same referent)

In answering 'What did he see?', one normally, if conforming to the Gricean maxim of quantity, has to use the most informative form 'John'. In the present case, the situation clearly requires the referring expression to be as informative as 'the gallows' but the narrator chooses instead a much vager form 'an object'. And here we come back to 'redundant' encoding: it takes the form of elaborating a perception process ('She saw there the gallows') into a perception process ('She saw there an object') plus an explanation ('That object was the gallows') without adding any information, but with desirable stylistic effects.

The message for the translator is clear, namely, to try and preserve the deviant two-step encoding with its simple sentence structure and its marked deictic 'that'.



#### 6.4.2. Encoding Entailed Quantity Predicates

When it comes to quantity (or scalar) predicates, redundancy becomes relatively easy to determine. If a quantity predicate is asserted, the assertion of a less informative one is regarded, by convention, as redundant (e.g. 'he spent **ten** days on it' renders 'he spent **eight** days on it' redundant; similarly, 'he **loves** her' renders 'he **likes** her' redundant). If, as shown above, the encoding of a usually presupposed process can help to create literary effects, the encoding of entailed quantity predicates may also function to produce thematically-related stylistic values. At the beginning of Lao She's Rickshaw Boy (Luotuo Xiangzi) is found a case which displays the latter kind of 'redundancy'. This case is faithfully carried over by the following translation (A) but is regrettably edited by version (B):

(A)<sup>35</sup> Becoming independent was not a simple matter at all. It **took one year, two years, at least three or four years, and one drop of sweat, two drops of sweat, who knows how many millions of drops of sweat**, until the struggle produced a rickshaw. By gritting his teeth through wind and rain, depriving himself of good food and good tea, he finally saved enough for that rickshaw. That rickshaw was the total result, the entire reward, of all his struggle and suffering. (pp.3-4)

(B) But this was certainly not easy to come by. **It had taken him at least three or four years and untold tens of thousands of drops of sweat** to acquire that rickshaw of his. He had earned it by gritting his teeth in the wind and rain ... (p.10)

(boldface mine)

As indicated here, Lao's novel centres round the symbol 'rickshaw', the gaining of which forms the protagonist's purpose in life and the losing of which leads him to despair. Indeed, his whole tragic life may be encapsulated in 'the gaining – losing – gaining – losing of a rickshaw'. The present passage depicts the process of his first obtaining a rickshaw. It is narrated with retrospective distance and in the mode of 'telling'. As shown by (A), the novelist tries to

achieve an iconic matching of form and meaning, an attempt usually excluded from 'telling', by means of 'redundant' encoding. Clearly, the progression from the entailed quantity predicates to the full amount seeks to enact, up to a point and relative to (B), the process of time passing or sweating. The choice of the simple past tense 'took', as opposed to 'had taken' (see B), seems to lend support to the iconic effect.

Iconicity, however, is far from the sum of the stylistic effect generated by the entailed quantity predicates, the encoding of which also makes for contrast, subtlety and, not least, paradox. In terms of time, 'one year' is, under the present circumstances, undoubtedly a long span. Thus 'it took one year' stresses the lengthiness which is however made to appear short by 'two years' which is, in turn, overshadowed by 'at least three or four years', thereby building up the pattern: long – longer – even longer and, meanwhile, shorter – short – long. The paradox thus produced underlines, subtly yet unmistakably, the lengthiness of the time span.<sup>36</sup> Equally notable is the contrast between the plodding rhythm 'one year, two years' and the quick, smooth rhythm 'at least three or four years', the former pointing to the slow passing of each long, hard, toiling year; the latter, by contrast, to the flying away of the years before he earned enough to buy a rickshaw.

The effect is even more striking where 'sweat' is involved. As distinct from years, drops of sweat do not come out in strict successive order and, moreover, they are usually uncountable. Thus, while 'he had only one drop of sweat' would be impossible, 'he had ten drops of sweat' would be metaphorical. By counting what is in a sense uncountable and by recording literally what is in a sense metaphorical: 'one drop of sweat, two drops of sweat', the novelist succeeds in magnifying the significance of **each drop** of sweat.

More subtlety or paradox arises when time and sweat are viewed in relation



to each other. Particularly notable is the paradoxical semantic relation obtaining between 'one year, two years' and 'one drop of sweat, two drops of sweat'. The two are, in a sense similar, both being relatively minor in comparison to what follows. But viewed in their own right, they are, to a great extent, contrastive to each other. Surely, 'one drop of sweat, two drops of sweat' is more compatible with, say, 'one minute, two minutes' than with 'one year, two years'. In the present context, however, the semantic contrast between the two in terms of amount is obscured both by the structural and by the situational parallelism, to the point of establishing an element of semantic similarity between them. As a result, the two are seen to be subtly 'compensating' each other. On the one hand, the tininess inherent in 'one drop of sweat, two drops of sweat' lends itself to the connotation of 'shorter - short' contextually taken on by 'one year, two years'; on the other hand, the semantic strength pertaining to 'one year, two years' serves to underline the magnification of 'one drop of sweat, two drops of sweat'.

It is clear that much, if not all, of the stylistic effect referred to is lost in version (B) where the basic sense conveyed remains the same but the semantic organization is quite different. By virtue of (B)'s omission of the entailed quantity predicates, the effect generated is brought towards singleness (versus multi-dimensional paradox) and towards plainness (versus subtlety) or, in more general terms, towards that which is produced by ordinary discourse as opposed to literary discourse.<sup>37</sup>

## CHAPTER 7

### ASPECTS OF SYNTAX

In translating realistic fiction, the translator tends to take syntax for granted, without being fully aware that syntax is often chosen or manipulated to generate literary significance. The present analysis seeks to throw some light on the fact that failure to take account of the literary functions of syntax in the original may lead to the loss of various stylistic or aesthetic values. As already touched on, in contrast to the translation of ordinary discourse where critical attention is focused on syntactic errors, syntactic stylistics in literary translation typically goes beyond questions of mere grammaticality. The translations compared below frequently constitute what could in a broad sense be called 'referential equivalents', conveying approximately the same propositional content but also, primarily because of differences in syntactic structure, giving rise to quite different effects.

Although stylistic investigation of syntactic form, no matter whether intra-lingual or inter-lingual, is always comparative in nature, the comparison in intra-lingual analysis is made between the actual choice and other **potential** choices (that could have been chosen by the **same** author) whereas the comparison in inter-lingual analysis is characteristically between **actual** choices (translations compared with the original and/or with each other). While in intra-lingual analysis one can take for granted the same lexical choice, in inter-lingual investigation sufficient room has to be left for 'synonyms' – in the form of different lexical choices made by the author and the translator(s). As the difference in (even though 'synonymous') lexical choice often bears on syntax, the boundary (already sometimes unclear) between syntactic choice and lexical choice tends to become even more problematic. The case is further complicated by the fact that stylistic values generated in SL by syntactic means



may be conveyed in TL, to a certain extent, by lexis or, similarly, that SL lexical means might find their correspondence in TL syntactic features (a phenomenon more frequently found in translating from the paratactic Chinese into the hypotactic English). This is hardly surprising since linguistic choices are made often only half consciously and seldom in isolation from each other. For this reason, relevant linguistic features other than syntax but bearing on a centrally syntactic question are also freely discussed in what follows.

Now, because of the radical differences in syntactic structure between the paratactic Chinese and the hypotactic English, fictional translation between the two languages seems frequently to pose various kinds of dilemma for the translator. We shall pay special attention to certain of the peculiar ways in which syntax functions to convey literary effects in Chinese and to the methods used by the translators to achieve functional correspondence in English. Again the limitation of space permits me to deal with only a few aspects, whose discussion will nevertheless have implications for narrative translation between Chinese and English in particular and for literary translation or interpretation in general.

### 7.1. SYNTAX AND PACE

In fiction, a world built up solely through linguistic means, syntactic organization may act in various ways upon the pace of the experience depicted. As syntax is largely responsible for the connection between events, the association between syntax and pace tends to come to the fore in the presentation of a sequence of happenings. The different ways in which the syntactic units are connected (say, whether subordinated (one to another) or coordinated (with or without punctuation in between)) seem frequently to have a role to play in determining the pace of the processes involved. Given one actor '*the man*' and two acts '*turn on his heel*' and '*walk out*', the tempo may

be quickened if the two acts are closely linked together by means of subordination:

(a) Turning on his heel, the man walked out.

To slow down the pace, one needs only to 'disconnect' the action processes by means of two separate sentences:

(b) The man turned on his heel. He (then) walked out.

Here the two acts, each presented by an independent sentence, are marked off from each other, with the sentence boundary generating the feeling that there is probably a time span between the two events.

Interestingly, in Hemingway's 'A Very Short Story' (a sketch of an ill-fated love affair in his In Our Time), there occurs a case where the tempo is notably quickened by omitting commas. On one occasion at the front, the protagonist Nick receives a large number of letters from his lover:

Fifteen came in a bunch to the front and he sorted them by the dates and read them all straight through.

The processes '*come*' '*sort*' '*read*' are made here, by virtue of the absence of commas, to appear to happen in rapid succession, which obliquely suggests Nick's anxiousness and his intense feeling towards his lover, an effect reinforced by the emphatic adjunct 'straight through'.

Syntactic subordination and the omission of punctuation are only two of the diversified rhetorical devices available to the novelist to hasten psychologically the pace of the experience depicted. In Cao Xueqin's A Dream of Red Chamber (Honglou Meng), the novelist uses 'covert changing of the subject' – a device peculiar to Chinese – to quicken the pace at which one event follows another:

(Cao) Jiemeimen yizhao xianjian,                      beixi jiaoji,      zi bubi shuo;



1. The two sisters were now reunited, needless to say, joy and sorrow  
 mingled together; 2. ( ) talked for a while about the years of separation,  
 you yinzhe baijian Jia mu, jiang  
 3. and ( ) took (them) in to pay respects to the Lady Dowager, 4. ( ) present  
 renqing tuwu gezhong chouxianle hejia ju sijianguo;  
 the various kinds of gifts of Nanking produce, 5. the whole family were  
 you zhixi jiefeng.  
 introduced to one another, 6. and ( ) spread a feast of welcome for the  
 travellers. (chapter 4, p.50)

( '( )' indicates the omission of the subject)

(A)<sup>1</sup> 1. The sudden reunion of the two sisters was, it goes without saying, an affecting one in which joy and sorrow mingled. 2. **After** an exchange of information about the years of separation, 3. **and after** they had been taken to see Grandmother Jia and made their reverence to her, 4. **and after** the gifts of Nanking produce had been produced 5. and everyone had been introduced to everyone else, 6. there was a family party to welcome the new arrivals. (p.121; boldface mine)

(B) 1. The two sisters were now reunited, at an advanced period of their lives, so that mixed feelings of sorrow and joy thronged together, but on these it is, of course, needless to dilate. 2. After conversing for a time on what had occurred, subsequent to their separation, 3. madame Wang took them to pay their obeisance to dowager lady Chia. 4. They then handed over the various kinds of presents and indigenous articles, 5. and after the whole family had been introduced, 6. a banquet was also spread to greet the guests.

(C) 1. We need not dwell on the mingled delight and sorrow of these two sisters meeting again in the evening of life or all their tears, laughter 2. and reminiscences. 3. Lady Wang took them in to pay their respects to the Lady Dowager, 4. and they distributed the gifts they had brought. 5. When the entire family had been introduced, 6. a feast of welcome was spread for the travellers. (p. 64)

(see note 2)

### Analysis of the original:

In the presentational mode of narrative summary and with the 'synopses' kept to a minimum, pace in this passage is accelerated by means of 'covert changing of the subject', a rhetorical device peculiar to Chinese. The sentence

begins with the subject 'the two sisters' (Lady Wang and Aunt Xue), a subject that the following clause 2 implicitly sticks to. When it comes to clause 3, the omitted subject is understood to be shifted to 'Lady Wang' alone, which is covertly and immediately changed in 4 to the other of the two sisters 'Aunt Xue (possibly and her children)'. After the explicit subject 'the whole family' in 5, the subject is again in the following clause 6 implicitly shifted to a different entity 'the hostesses (and the hosts)'. Now, although 'covert changing of the subject' forms a conventional rhetorical device in Chinese, it usually occurs no more than once in a sentence. Such constant shifts within the compass of a single sentence are indeed quite uncommon.

If, according to normal practice, some of the omitted subjects were supplied (in 3 and 4 and, possibly, 6), the original might naturally be broken into a few separate sentences: a change that would visually as well as audibly mark the events more strikingly off from each other, thereby slowing down the psychological speed with which the events follow one another in sequence:

... talked for a while about the years of separation, and **Lady Wang** took them in to pay respects to the Lady Dowager. **Aunt Xue** (or the Xues) presented the various kinds of gifts of Nanking produce. The whole family were introduced to one another. Then **the Jias** spread a feast of welcome for the travellers.

Compare the original:

... talked for a while about the years of separation, and took them in to pay respects to the Lady Dowager, presented the various kinds of gifts of Nanking produce, the whole family were introduced to one another, and spread a feast of welcome for the travellers.

(see note 3)

This would be a regrettable change. For the psychological hastening of pace by virtue of the unexpectedly frequent use of 'covert changing of the subject' is seen to be of thematic significance. The description of the Xue's arrival (at the central scene of the fiction), synthesized into a single sentence, in fact forms a



stark contrast to the preceding description of the arrival of Lin Daiyu which is depicted in elaborate detail, going on for pages.<sup>4</sup> Now one of the Xue's: Xue Baochai (Aunt Xue's daughter) and Lin Daiyu, being the two female protagonists in the fiction, represent two contending forces: anti-feudalist versus feudalist; their symbolic contention for the love of the hero forms one of the major themes of the novel. With a strong anti-feudalist tendency, the implied author takes a stand for Lin Daiyu, the one with democratic ideas. Never once, though, is this stand explicitly stated, but it is to be detected, among other things, in the subtle stylistic choices. The radical difference in attention accorded to their respective arrivals at the central scene serves to bring out the implied author's partiality for Lin Daiyu over Xue Baochai, the latter being, significantly, kept obscure in the already inconspicuous description. The author's indifference towards Xue Baochai, as indicated by his merely touching on her arrival, is underlined by the psychological hastening of pace which generates a rapid continuity that adds a good deal to the tone of customariness or predictability underlying the bald summary (which only serves as a necessary connective framework). This goes towards reducing the psychological prominence or, more to the point, the significance of the affair.

#### Analysis of the translations:

Cao's psychological hastening of pace is well captured by version (A) where the corresponding means chosen for Cao's constant 'covert changing of the subject' (unavailable in English) takes the form of the consistent 'after ... and after ... and after...'. The continuous downward shifts in rank in the clauses concerned (from a main clause to a prep. phrase (2) or to a subordinate clause (3,4,5)) operate to lump the events involved together into a circumstantial whole, as a background to 'a family party'. As the reader expects the main clause to follow the first 'after ...', the appearance of 'and after' generates an

element of suspense, pressing the mind forward to find the main clause, an expectation only to be defeated by the subsequent 'and after ...', thus further pressing the mind forward. The resulting effect is that the 'circumstantial whole' is seen to progress with speedy continuity, perceptibly accelerating the pace of the processes involved. We may note that the three subsidiary instances of 'after',<sup>5</sup> being considerably parallel in situation and function and with a strong undertone of monotony and predictability, interact to render each other obscure, helping to quicken the processing speed and, related to that, to hasten the psychological pace. As if to strengthen the effect, specification of the omitted subjects, which is often called for in Chinese-to-English transfer, is avoided by means of either nominalization 'an exchange of information' (2), or passivatization (3,4), or an existential clause (6). All this amounts to the fact that version (A) 'runs on' at a fairly quick speed with the events, marked by psychological obscurity, closely following one another, which matches well the effect of the original.

By contrast, Cao's psychological hastening of pace is not at all reflected in version (B). Although two of Cao's main clauses (2,5) are subordinated in (B), it goes no further than what is normally expected in coping with the much less syntactic Chinese. While no effort is made to correspond to the unexpectedly frequent 'covert changing of the subject', Cao's quickly 'run-on' narrative flow (2-6) is broken into 3 somewhat separate units (2-3, 4, 5-6), with the consequence that the pace is notably slowed down (a little remedy is offered by the comma instead of a full stop after 4, which helps smooth the narrative flow).

As for version (C), the nominalization of clause 2 which is thereby subsumed under 1 helps make it concise. In clause 5, the use of 'when' which seems to take on a stronger tone of expectedness than 'after' lends itself to toning down the event and to quickening the pace. Nevertheless, Cao's



'run-on' flow, which arises from the 'covert changing of the subject' and which is well captured by (A), fails to appear in (C).

Having seen how syntax can be manipulated to quicken the pace at which a sequence of summarized events follow one another, where the narrative mode is 'telling' or narrative summary, we now turn to another case in Cao which exhibits the opposite narrative mode, i.e. 'showing' or scenic description:

(Cao) Gang shuodao zheli, zhiting ermenshang xiaosimen  
Granny Liu had got no further, (when) the pages by the second gate

huishuo: 'Dongfuli xiaodaye jinlaile.' Feng Jie  
announced: 'The young master from the East Mansion is here.' Xifeng

mang he Liu Laolao bai shou dao: 'Bubi shuole.' Yimian bian  
**promptly** gestured to Granny Liu: 'That's enough.' She **at the same time**

wen: 'Ni Rong daye zai naline?'  
asked: 'Where is Master Rong?' (chapter 6, p.76; my boldface)

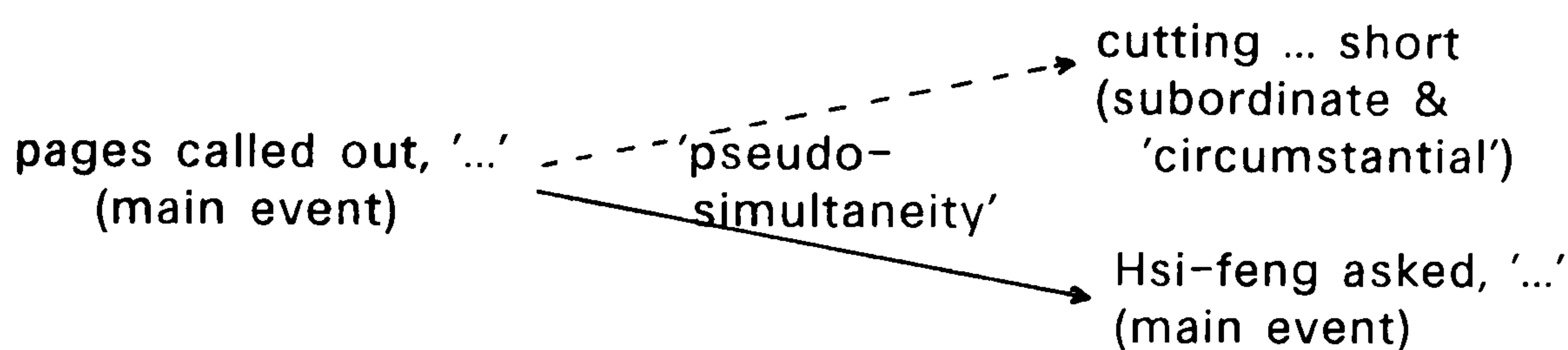
(A)<sup>6</sup> Just then pages by the second gate called out, 'The young master from the East Mansion is here.'  
Cutting Granny Liu short Hsi-feng asked, 'Where is Master Jung?' (p.97)

(B) She had got no further when the pages from the outer gate announced the arrival of 'the young master from the Ning mansion' and Xi-feng gestured to her to stop.  
'It's all right. There is no need to tell me.' She turned to the pages. 'Where is Master Rong, then?' (p.162)

(see note 7)

The rhetorical or psychological<sup>8</sup> hastening of pace is realized in Cao mainly by lexical means. In response to the unexpected announcement, Xifeng 'promptly' silences Granny Liu and '**at the same time**' – an adjunct that imposes **simultaneity** on two obviously successive events – asks 'Where is Master Rong?'. This prompt reaction points to a prominent trait in Xifeng, namely, her extraordinary adaptability; and more significantly, it serves to bring out, in a subtle and oblique way, Xifeng's dubious relationship with Master Rong – her husband's nephew (a scandalous affair is suspected to be going on between the two).

Cao's rhetorical hastening of pace is well matched by (A) through the choice of 'cutting Granny Liu short'. Now except for existential ones, the present participial clause is often used to indicate accompanying circumstances, with the implication of incomplete happening with limited duration. Given the sentence 'Crossing the street, he ...', it is to be understood as '**While** crossing...' rather than 'After crossing...' or 'Having crossed...' (compare this with (A); compare also 'He was crossing the street.' with \* 'He was cutting her short.'). Despite its instantaneous nature, 'cutting short' in (A) seems, by association with the paradigmatically related durative verbs, to pass off, up to a point, as accompanying circumstances. By this is meant a measure of pseudo-simultaneity between '*cut short*' and '*ask*'.



The fact that Xifeng's first speech act is reduced to a 'circumstantial' position hastens the psychological appearance of her second speech act. The reader seems to get the impression that 'The young master from the the East Mansion is here' is in a way directly responded to by the utterance 'Where is Master Jung?'. Notice the difference obtained if the participial clause is promoted to an independent sentence:

... called out, '...'  
Hsi-feng cut Granny Liu short. She (then) asked, 'Where is...'

Here the syntactic structure accords Xifeng's two speech acts equal prominence, and the syntactic boundary marks the case that the announcement is responded to first by Xifeng's cutting Granny Liu short and only then, as distinct from Cao's '**at the same time**', by her inquiry.



The 'pseudo-simultaneity' generated by Cao's lexis and conveyed by (A)'s syntax fails to appear in version (B) where the pace is perceptibly slowed down. This is attributable in part to the omission of 'promptly' and 'at the same time' and in part to the elaboration of the curt speech act 'That's enough.' as well as to the addition of the process of turning to the pages. The elaboration in question makes Xifeng's first speech act attract more attention, which, coupled with the addition, delays the appearance of Xifeng's inquiry (as a result, the addition of 'then' is called for by naturalness of expression). In (B) one is not made to feel the promptness of the reaction or the eagerness of the inquiry; instead one is given the impression that Xifeng's response may well be a normal one and the arrival may well be a normal guest rather than the very Master Rong in whom Xifeng is particularly interested.

The differences in pace shown above point to a fundamental issue that lies underneath. In a fictional world, one that is 'dissociated from the immediate social context' (Widdowson, 1975:54), the reader can only take on trust the written medium. As indicated here, in describing the same events, different syntactic choices, because of the different psychological effects they create, may result in different decoding processes which, consequently, may vary rhetorically the pace of the events involved. This, in turn, may bear on authorial stance, on characterization, or on the relationship between the characters concerned. In the preceding case, Cao's rhetorical hastening of pace leads the 'run-on' events to tail off into inconsequence, implicitly bringing out the implied author's attitude towards his characters. In the present case, though no mention is made of Xifeng's extraordinary adaptability or her dubious relationship with Master Rong, it is however subtly hinted at by her quick reaction, particularly, by the 'pseudo-simultaneity'.

It is arguable that stylistic values as such are functional only in a literary context. Found in a non-literary work whose purpose is to convey information,

such differences could well be overlooked by the translator since they do not, broadly speaking, affect the basic propositional content. The same holds true for the rhetorical or psychological slowing down of pace. To look at a brief example from Cao:

(Cao) Laodaole banri, fang chou shen qule. (chapter 9)  
He chattered for quite a while, (before) finally tearing himself away.  
(half-of-the-day)

(A)<sup>9</sup> He chatted with her for quite a bit longer before finally tearing himself away. (p.205)

(B) After chatting for a while he turned to leave. (p.135)

This takes place before the hero goes to school in the morning. He hurries to the heroine's room to say goodbye to her. Judging from the context, the chatting can only have lasted for a short while. If what is required is a neutral description, version (B) would be sufficient (e.g. in answering the question 'What happened that morning?'). In this literary context, however, (B) falls short in that it fails to convey Cao's rhetorical slowing down of pace.

The slowing down of pace is realized in Cao through lexical choice. The first predicate 'chatter' connotes unhurriedness and lengthiness which is reinforced by the metaphorical 'half-of-the-day'. The effect is further strengthened by the interpersonal adjunct 'finally' as well as by the dragging force in 'tearing himself away'. Thus a short time span is stretched to take on a greater length, subtly revealing the hero's unwillingness to part with the heroine, with whom he has, it seems, fallen in love.

The rhetorical slowing down of pace is well transferred by (A) whose syntactic structure makes prominent the act of 'chatting' (the predicate of the main clause) modified by 'for quite a bit longer'. The conjunction 'before', allied to 'finally', delays the act of 'tearing himself away'. This forms a contrast to (B) where the emphasis is shifted, with the backgrounding of the act of chatting,



to 'turned to leave' (which occupies the prominent position of the predicate of the main clause) and where the neutral description drops no hint of the hero's unwillingness to part with the object of his affections.

From these few examples it will have emerged that rhetorical or psychological hastening or slowing down of pace forms a stylistic device which is to be taken into account by a literary translator so as to avoid deceptive equivalence and to recapture the full range of responses produced by the original text. And it is the syntactic aspect that seems to deserve particular attention, since it may be more easily overlooked in translation.

## 7.2. SYNTAX AND PROMINENCE

A most crucial function of the syntactic hierarchy is to represent different degrees of importance attached to different parts of the message. In a hypotactic language like English, syntax plays a vital role in highlighting or backgrounding information and in distinguishing new information from what is given. In the paratactic Chinese, though, differentiation of prominence or givenness is not so much a role of syntax but rather, to a great extent, a function of the reader's contextual inference. In translating from Chinese into English then, not only naturalness of expression calls for frequent subordinating or rankshifting by the translator, but also the difference in syntactic function between the two languages makes it necessary for the translator to signal differentials of importance or givenness by means of the syntactic hierarchy so as to cater for a readership much more dependent in this respect on syntax.

The success of the translator's task in this aspect rests essentially on his correct contextual inference and on finding the appropriate syntactic choice. In the following case, taken again from Cao's Honglou Meng, translation (A)<sup>10</sup> presents a successful rendering while (B) seems to fall short.

(Cao) ... Liu Laolao bugan guoqu, dandan yifu,  
 ... Granny Liu did not dare to go over, [she] dusted down her clothes,  
 you jiaole Ban'er jijuhua, ranhou liudao jiaomen qian  
 and taught Ban'er again a few appropriate words, after that [she] sidled up to  
 the side entrance ... (chapter 6, p.70)

(A) There, at each side of the stone lions which flanked the gates of the Rong Mansion, she saw a cluster of horses and palanquins. **Not daring to go straight up, she first dusted down her clothes and rehearsed Ban-er's little repertoire of phrases before sidling up to one of the side entrances** ... (p.154)

(B) But Granny Liu was too overawed by the crowd of sedan-chairs and horses there to venture near the stone lions which flanked the Jung Mansion's main gate. **Having dusted off her clothes and given Pan-erh fresh instructions, she timidly approached the side entrance** where some arrogant, corpulent servants were sunning themselves on long benches, engaged in a lively discussion. (p.91)

(my boldface)

This passage depicts one scene of the first visit by Granny Liu – a country bumpkin – to the Rong Mansion in the capital. In the last but one case discussed in 6.3. ('Reliability'), we were given, it will be recalled, a glimpse into the character's ignorance and bizarre reactions. This country bumpkin, with her grandson Ban'er, is now at the entrance to the Rong Mansion. Wanting to but not daring to enter, she displays two preparatory actions '*dust down her clothes*' and '*teach Ban'er again a few appropriate words*' which are characteristic of her as an overawed country woman. As the Chinese critic Jiang Hesen says, 'just by seizing upon these two distinctive details', the author succeeds in bringing out vividly and thoroughly the country bumpkin's hesitation, humbleness and timidity (1982:18).

These two 'distinctive details' are given due emphasis in (A) where they are foregrounded through the position of two coordinated main clauses and are further set off by the preceding and following participial ones. This treatment by (A) of Cao's four coordinate clauses fits well the logical relationships between the processes involved. The use of a participial clause to render '*not*



*dare to go over* suits perfectly the nature of the mental process as an accompanying state of mind and as a reason underlying the following actions. The choice of 'before sidling up to one of the side entrances' on the other hand conveys well the fact that this is an intended act which is due to follow the two preparatory actions. It may be worth noting that the lexical addition 'first' serves to strengthen the signal of new information<sup>11</sup> and to reinforce the role of the two highlighted actions in characterization.

When it comes to version (B), the descriptive focus is regrettably shifted to 'she timidly approached the side entrance' which occupies the prominent position of the only main clause in the sentence while the two 'distinctive details' concerned are translated through two participial clauses headed by the auxiliary 'have'.<sup>12</sup> Because of the backgrounding effect arising from the subsidiary structure coupled with the associated strong undertone of predictability, the two preparatory actions seem to lose their distinctiveness, consequently playing a much weaker role in revealing the character's hesitation, humbleness or timidity.

The comparison between (A) and (B) may shed some light on how meaning arises from within the mechanisms of syntax in fiction, a world in which the reader can only take on trust the written medium. In a hypotactic language like English, the reader seems to be very reliant on syntax. As we see here, the surface structure in version (A) focuses the reader's attention on the two 'distinctive details', allowing the reader room to appreciate fully their role in characterization. In version (B), however, the reader's attention is directed by surface structure to concentrate on two different points: (1) 'Granny Liu was too overawed' to venture near the main gate (2) so 'she timidly approached the side entrance'. The two actions in between are made by syntax to appear obscure and expected, and are therefore made somewhat dissociated from the feelings they are intended by the author to convey.

Now given the significant role of English syntax in directing the reader's differentiation of prominence or givenness (see Fowler, 1977:6-11), the translator has to see to it that his syntactic choices match the intended logical relationships between the processes involved. In the following case taken from Lu Xun's 'Shangshi' ('Remorse for the Past'), translation (B) exhibits, due to an inappropriate surface syntactic choice, a notable distortion of the original emphasis:

(Lu) ... Zhe yanguan shexiang sichu, zhengru haizi zai jikezhong xunqiu  
... She looked all around, just like a hungry child looking for its

ci'aide muqin, dan zhi zaikongzhong xunqiu, kongbude huibizhe wode yan.  
kind mother, but only looked into space, [she] fearfully avoided my eyes.

Wo buneng kanxiaqule ...

I could not bear the sight any more ...

(A)<sup>13</sup> To clinch the matter, I said firmly: '... Well, to tell the truth - it's because I don't love you any more! Actually, this makes it better for you, because it'll be easier for you to work without any regret. ...'  
I was expecting a scene, but all that followed was silence. Her face turned ashy pale, like a corpse; but in a moment her colour came back, and that childlike look darted from her eyes. She looked all around, like a hungry child searching for its mother, but only looked into space. **She fearfully avoided my eyes.** The sight was more than I could stand. ... (p.254)

(B) ... I had expected violent reaction to this, but there was only silence. Her face turned deathly pale and yellowed, but she recovered almost immediately. Her eyes sparkled with their childlike innocence, **and while trying to avoid my eyes, flitted about the room like those of a hungry child looking for its mother.** I could bear it no longer. ... (p.175)

(my boldface)

Coming from a story which depicts a tragic love affair, the passage presents a scene where the narrator/protagonist finally plucks up his courage and tells his girlfriend the truth that he does not love her any more, a truth which eventually leads to her premature death in a loveless world. Clearly, her reaction to his words diverges from his expectations not only in the sense that she reacts quietly rather than violently but also, as indicated by the adversative 'but' coupled with the interpersonal adjunct 'only', in the fact that she fearfully



avoids his eyes. And it is no doubt the latter unexpected fact that he finds particularly difficult to stand. This fact of her fearfully avoiding his eyes argues her disillusionment about their love and points to the cruelty of his words, forming a prelude, as it were, to his everlasting guilt. The very night his girlfriend leaves him:

In the darkness I seemed to see a pile of food, then the sallow, pale face of Tzu-chun, **looking at me imploringly with her childlike eyes**. When my gaze steadied, I could see nothing. My heart again grew heavy. Why could I not have endured it a few days longer? Why must I have so impulsively told her the truth? Now that I had told her, there was nothing for her to look forward to but the harshness, as harsh as the burning sun, of her father – her creditor – and the chilly glances, chillier than frost and ice, of her friends and relatives. Outside of these there was only emptiness. ... Especially when at the end of the road there was only – a tomb without even a tombstone! I should not have told Tzu-chun the truth. ... (translated by (B), p. 178; my boldface)

It is no accident that the **only** reaction of his girlfriend in his hallucination is one of her **looking at him** imploringly, which forms such a stark contrast to the reality that she fearfully avoids his eyes. In Lu, this real reaction of hers is marked by descriptive emphasis: realized through its final position in the sentential climactic progression – particularly through the use of 'but only looked into space' which operates to make the final clause emphatic and prominent. Notice the difference that would obtain if the sentence were to appear in a form like:

She looked all around, just like a hungry child looking for its kind mother, and she fearfully avoided my eyes.

Although the information conveyed remains the same (so far as her reaction is concerned), the alteration in linguistic form brings about a significant change in the viewpoint of the I-narrator who is now seen to take her reaction in the last clause as somewhat expected, a change which would in turn bear on the response of the reader. In this altered form, the last clause appears no more

than parallel to the preceding one, in no way forming a sentential climax. In Lu, however, with the adversative 'but' signalling unexpectedness, the assertion 'only looked into space' creates an element of suspense which heightens the effect of shock and, related to it, the prominence of the climactic final clause which discloses the grim reality that 'she fearfully avoided my eyes'.

This climactic progression formed by the two coordinate clauses headed by the adversative 'but' is in fact peculiar to Chinese where the characteristic paratactic structure allied to the distinctive omission of subject enables the two clauses to function closely together – in a way somewhat like two successive predicates in one clause:

... but only looked into space, fearfully avoided my eyes.

Clearly, the subject of the last clause has to be spelt out in English:

... but [she] only looked into space, she fearfully avoided my eyes.

In the hypotactic English, such a form appears loose and unacceptable. If one translates it into the following acceptable form:

... but [she] only looked into space: she fearfully avoided my eyes.

it would involve a partial loss of the effect of unexpectedness and shock associated with the last clause since the climactic progression in Lu is now changed into a statement plus an explanation.<sup>14</sup>

As shown above, the means that version (A) chooses to get round the dilemma is to translate Lu's last clause into an independent sentence. The short, separate graphic unit renders the process involved very emphatic and psychologically prominent. Despite the separating force inherent in the full stop, the strong semantic link, or rather the complementary function, between this sentence and the preceding clause enables the 'disjoined' (A) to represent,



up to a point, the climactic progression in Lu. Indeed, the full stop in between seems to function to heighten the element of suspense as well as to deepen the shock effect produced by what follows.

In contrast with (A), Lu's descriptive emphasis is seriously distorted by (B) where the fact of her avoiding his eyes is backgrounded in the shape of a participial clause and made to appear as an accompanying circumstance, to serve merely a modifying role and to take on a strong tone of predictability. As the syntax focuses the reader's attention on the two main clauses which overshadow the participial one, the 'it' in 'I could bear it no longer' seems to have little to do with her 'trying to avoid my eyes' which originally forms its crucial referent. Consequently, much of the tragic contrast between the reality of her 'fearfully avoiding my eyes' and the hallucination of her 'looking at me imploringly' is lost in (B).

What underlies (B)'s distortion is most probably inadequate contextual inference by the translator, who seems to take the fact of her avoiding his eyes as an inessential detail, an attitude reflected not only in the use of the subsidiary structure but also in the omission of the adjunct 'fearfully' (*'kongbude'*). Another factor which may partly account for the distortion is the constraint of naturalness of expression. In translating from Chinese into English, one is always ready to carry out subordination or rankshifts so as to make the text appear natural in the hypotactic target language. As illustrated above, the clause '..., [she] fearfully avoided my eyes.' appears in English as a trailing element, rendering the sentence unacceptably loose. (B)'s subordinating it and sandwiching it in between two main clauses may be seen as an effort to tighten up the syntactic structure.<sup>15</sup> The result is a neat, well-balanced sentence with distorted emphasis.

In fact, in translating from Chinese into English, the concern with naturalness of expression quite frequently leads to distortions in terms of

prominence (of which the following case is another example). As the contrast between prominence and obscurity or between 'new' and 'given' plays an essential part in revealing or conveying the point of view of the author, and/or the dramatized narrator, and/or a character (which significantly conditions the reader's decoding process), it should be stressed that, in making syntactic choices, one needs to consider carefully the communicative emphasis or the logical relationship obtaining in the original text and try to reflect or underline it, with naturalness where applicable, by English syntax.

Now in the two cases examined above, the distortions of prominence involved seem to be locally clear. But in many others, the distortion of prominence becomes clear only in the light of a larger context, most typically, in the light of a pertinent motif. For convenience of discussion, I have chosen here an illustrative case from the same story by Lu:

(Lu) (Jiuzai zheyang yige hunheide wanshang, wo zhaochang meijing-dacaide huilai,  
Just on such a dark evening, I came back home listlessly as usual,

... ) Wo sihu bei zhouwei suo paiji, bendao  
... ) I felt as if I was being squeezed out by the surroundings, [I] rushed

yuanzi zhongjian, you hunhei zai wode zhouwei;  
out to the middle of the courtyard, **there was darkness around me**; on the

zhengwude zhichuangshang yingchu mingliangde dengguang, ...  
window paper of the central room there was shining bright lamplight,...

(A) (One dark evening, I came home listlessly as usual ... It was dark inside, and as I groped for the matches to strike a light, the place seemed extraordinarily quiet and empty. I was standing there in bewilderment, when the official's wife called to me through the window. 'Tzu-chun's father came today,' she said simply, 'and took her away.' This was not what I had expected. I felt as if hit on the back of the head, and stood speechless. ... ) Feeling my surroundings pressing in on me, I hurried out to the middle of the courtyard, **where all around was dark**. Bright lamplight showed on the window paper of the central rooms, (where they were teasing the baby to make her laugh. My heart grew calmer, and I began to glimpse a way out of this heavy oppression ...) (p.256)

(B) (It was after dark when I came home. ... ) I felt oppressed and rushed **out into the darkness of the courtyard**. The landlady's room was bright (and resounded with children's laughter. My heart calmed down and there gradually emerged out of the oppressiveness of my situation a path into life ... )



(pp. 176-8)

(my boldface)

This passage depicts the I-narrator's reaction to his girlfriend's leaving him after he has told her the truth. So far as the immediate context (say, the graphic sentence) is concerned, (B)'s nominalization of Lu's 'there was darkness around me' is perfectly acceptable since it not only does not bear on the denotative meaning but also does not seem to affect the logical relationships between the constituent parts of the message. But when viewed in relation to a larger context, it will be found that (B)'s rendering falls short in terms of prominence.

In this story, 'dark' or 'darkness' is almost consistently used with figurative significance, serving to stand for despair, disillusion, death or sinister social forces. For example:

All around was a great void, quiet as death. I seemed to see the **darkness** before the eyes of every single person who died unloved ... (A, p.259; my boldface)

Sometimes the road to life appeared like a long white snake, wriggling and rushing towards me. I waited and waited but it **disappeared into the darkness** when it came close. (B, p.182; my boldface)

The figurative references to darkness combine to form a thematic motif which is set in striking contrast with the motif formed by figurative references to light or brightness, used to symbolize happiness, hope or a promising future. The following is a case in point:

In the public library I often got **glimpses of light**, of a new road to life ahead of me. (B, p.176)

Given the pertinent thematic patterns, the contrastive references to darkness and brightness in the present passage are seen to take on symbolic significance (see A and B for the causal relation between the bright lamplight

and the rising of his hope). As already quoted, the I-narrator is fully aware that the returning of his cohabitant to her father's home would only end in her destruction since there is 'nothing for her to look forward to' but harshness, chilly glances and emptiness and, worst of all, 'a tomb without even a tombstone!'. The term 'darkness' (*'hunhei'*) here points to the hopeless situation of his girlfriend and to the I-narrator's own disillusion and despair, as well as to the dark feudalistic social forces which underlie the tragedy. Yet the symbolic significance is made clearly felt only through the structurally deviant and semantically redundant elements in Lu's 'there was darkness around me' (*'you hunhei zai wode zhouwei'*). The use of the existential form to depict the colour of the sky is deviant in Chinese and also, perhaps to a lesser extent, in English. Compared with the more usual expression 'it was dark in the courtyard' (*'yuanzili heiheide'*), the existential form 'there was darkness around me' has the function of highlighting the bearing of 'darkness' on 'me'.

In fact, given the preceding reference to the setting 'one dark evening', the reference to darkness here is semantically redundant. What matters, though, is not the redundancy itself but the fact that the existential form makes the redundancy consciously felt. Compare:

- (1) It was dark inside the room. I went into the darkness of the room.
- (2) It was dark inside the room. I went into the room. There was darkness around me.

In (2) the existential form seems to foreground the redundancy by virtue of the fact that the redundant element is treated as new information (compare its givenness in 1) and asserted by a separate clause. As a result, the 'darkness around me' is made psychologically more prominent and is more consciously felt on the part of both encoder and decoder. The latter, if attentive, would surely be alerted to whatever motivation there is underlying the deviant



assertion and, in Lu's case, be alerted to the symbolic significance involved.

It is clear that, apart from the echoing effect of the pertinent motif and in addition to the parallel between the desperate situation and the connotations of distress, death or wickedness potentially present in 'darkness', the structural deviation and the foregrounded semantic redundancy found in Lu operate to make the 'darkness around me' take on the symbolic significance of despair, disillusion and sinister social forces. The figurative meaning would perhaps be best preserved in English through the existential form allied to the prominent position of an independent sentence (see the illustration in note 16). But what one actually finds in (A) is the subordinated form:

... I hurried out to the middle of the courtyard, where all around [me] was dark.

Interestingly, despite the subordination, the term 'dark' takes on considerable prominence partly through its end-focus position and partly from the fact that the preceding comma marks the adverbial clause as a relatively independent information unit, making it appear less presupposed and consequently rendering the semantic redundancy involved more consciously felt, which in turn functions to alert the reader to the figurative meanings involved. Moreover, the choice of 'around [me] was dark' approximates to the function of the existential form in terms of stressing the bearing of darkness on the I-narrator, while the addition of the adjunct 'all' serves to underline the sinister potency of darkness, contributing to the preservation of the figurative significance concerned.

The symbolic significance of 'darkness' is drastically undercut by (B)'s :

I felt oppressed and rushed out into the darkness of the courtyard.

where Lu's main clause 'there was darkness around me' is reduced to the

obscure position of the head of an embedded nominal group and made to function as part of a locative adjunct. As a result, 'darkness' appears to be totally presupposed, which makes for cancelling the unconventional redundancy. What is more, the presentation of darkness as part of the locative adjunct functions to render 'darkness' into a refuge, as it were, for the I-narrator (who rushes into it to avoid oppression). This forms a contrast to Lu and (A) where the I-narrator is seen to seek refuge in the courtyard where, for a good reason, he feels and asserts the existence of darkness and its bearing on him. It is apparent that the sinister potency of darkness, which one senses in Lu's 'there was darkness around me' or (A)'s 'all around [me] was dark' is totally suppressed in (B) where there is virtually no linguistic signal left to alert the reader to any significance of 'darkness' over and above its literal meaning.

This is seen to be all the more regrettable given that the local effacement of the symbolic significance of 'darkness' would necessarily impair the echoing effect of the pertinent motif. Indeed, what underlies the local effacement is surely, among other things, a failure to realize the function of the present reference to 'darkness' in the larger symbolic pattern. The point to stress is that, in order to represent adequately the differentials of prominence or givenness obtaining in the original, the translator needs to be aware of the function of a given structure in a larger pattern, in addition to an adequate awareness of the logical relationships involved in the immediate context.

### 7.3. SYNTAX AND THE IMITATION OF PROCESS

This section will direct attention to three specific areas: i) Premodification, ii) Sequencing and iii) Juxtaposition. In these areas (among many others), there may occur the artistically-motivated iconic matching of syntactic form with the processes involved, either within or outside the consciousness. The examples below have been chosen invariably for the reason that the iconic schemata



found in the original are peculiar to Chinese and are difficult or even impossible to transfer into English.

### 7.3.1. Premodification

In Chinese, the head of a nominal group is, as a rule, only premodified, with the premodification possibly containing a complex of rankshifted groups and clauses. This restricted positioning of the modifying element and, related to it, the allowance for heavy premodification are of course just conventional features of the arbitrary organization of the language. But these features may be consciously exploited by the writer in an effort to imitate the process(es) involved. The following passage, taken from Mao Dun's 'Spring Silkworms', is a good case in point:

(Mao) Zheshi yige longzhongde yishi! Qianbai nian xiangchuande yishi!

This was a solemn ceremony! A ceremony handed down through the ages!

Na haobishi shishi dianli, yihou jiuyao kaishile yige yue guangjingde

It was like an oath-taking ceremony, from now on it would begin [an] about-a-month-

he eliede tianqi he eyun yiji he buzhi shenmede

long['s]-against-bad-weather-and-bad-luck-and-against-goodness-knows-what-else['s]-

lianrilianye wu xiuxide da juezhan!

without-rest-for-days-and-nights-running['s]-big decisive combat! (see note 17)

(A)<sup>18</sup> A solemn ceremony! One that had been handed down through the ages!

Like warriors taking an oath before going into battle! Old Tung Pao and family now had ahead of them a month of fierce combat, with no rest day or night, against bad weather, bad luck and anything else that might come along!

(p.25)

(B) It was solemn ceremony, one that had been observed for hundreds and hundreds of years. It was as solemn an occasion as the sacrifice before a military campaign, for it was to inaugurate a month of relentless struggle against bad weather and ill luck during which there would be no rest day or night. (p.152)

(C) The ceremony was holy, and as old as China. Beginning from this day a battle against bad weather and bad luck started. And this battle had to be continued for a whole month. (p.18)

Mao's 'Spring Silkworms' is about the arduous struggle of Old Tong Bao and

family (among their fellow villagers) to raise a crop of spring silkworms under the joint depredation of imperialism and feudalism. This passage comments on the ceremony involved on the day when newly-hatched silkworms are harvested, which marks the beginning of one month of toil before the spinning of cocoons. What is striking in Mao is the heavy premodification in the last nominal group, which may be analysed in terms of the notion 'arrest' (see J. Sinclair, 1982). Although the first modifying element 'about a month long[s]' (*'yige yue guangjingde'*) may be taken as quite natural, the following rankshifted prepositional group headed by 'against' (*'he'*) surely functions to arrest the expected progression to the head noun, an effect which is reinforced by the coordinate 'against goodness knows what else[s]' (*'he buzhi shenmede'*) and is further strengthened by the juxtaposed 'without rest for days and nights running[s]'.

The effect is very remarkable in English and even in Chinese, where heavy premodification is commonplace, the premodification occurring in this inverted clause is felt to be too heavy with arrest. The heaviness emerges with the extending element 'and against goodness knows what else[s]' (*'yiji he buzhi shenmede'*) and is significantly underlined by the subsequent 'without rest for days and nights running[s]' (*'lianrilianye wu xiuxide'*), the former appearing to have been deliberately added to lengthen the arrest and the latter, which could have been more naturally presented in surface structure as the predicate of another clause (see note 19), seeming to have been purposefully juxtaposed here to reinforce the ponderousness of the arrest.

The literary effect thus produced is, as I see it, not one of building up a phrasal climax so as to emphasize the head noun *'jue zhan'* ('decisive combat') but one of dramatically imitating, through the physical properties associated with the exceptional arrest, the relevant traits of the process concerned. It is notable that the ponderous arrest sets a great burden upon the memory,



building up a mental strain which imitates and interacts with the psychological tension that one feels in decoding the meaning of the premodifying elements, thereby iconically reinforcing the strenuousness and laboriousness of the process. In this particular context, the juxtaposition of the premodifying elements in itself seems, in addition to making for their mutual intensification, to serve to underline, merely through placing these elements side by side, the multiplicity of the hardships involved. Also of interest is the fact that, in decoding the premodification in Chinese, when reading aloud, one's breath may be about to run out at the end of *'buzhishenmede'* ('goodness knows what else[s]') and, if seeking to process on the same breath *'lianrilianye wu xiuxide'* ('without rest for days and nights running[s]'), one may have to stretch the breath very hard, dramatically enacting the tension and restlessness involved. Quite similarly, in silent reading, the mental strain arising from the burden on the short-term memory caused by the arrest is particularly keenly felt when one reaches 'without rest for days and nights running[s]'. Furthermore, in this particular context, the very length of the premodification seems to make for an imitation of the lengthiness of the given process. What we have here then, is a multi-dimensional matching of the physical shape of the structure and the content conveyed, with the former operating to intensify the latter.

What underlies this intensification by way of imitation is, among other things, the authorial narrator's deep empathy, which is also shown graphologically by the recurrent use of '!' as well as being semantically reflected in the metaphorical expressions. The narrator's keen sympathy towards the hardship involved – as one is sure to sense in decoding the heavy premodification as such – operates to promote effectively the reader's emotional involvement, heightening, as a result, the affective force of the message.

In translating into English, postmodification, or rather heavy

postmodification, offers one, and perhaps the only, way open to a translator who attempts to represent the iconic matching in question. Not surprisingly, both (A) and (B) exhibit considerable postmodification, replacing Mao's premodifying arrests by postmodifying extensions, thereby managing to capture to some extent the iconic effects referred to. A better representation, though, could be achieved if we combine the virtues of (A) and (B) to form a rendering like:

A solemn ceremony! One that had been handed down through the ages! Like warriors taking an oath before going into battle! Old Tong Bao and family now began a month of fierce combat against bad weather, ill luck and goodness knows what else during which there would be no rest day or night!

Marked by an emotive force as strong as that in the original, this version seems to capture more fully Mao's iconic matching of form and meaning through the joined function of i) the representation of the extending element '*yiji he buzhi shenme*' ('and against goodness knows what else') and ii) the preservation of the original order of the modifying elements. The former serves to heighten, by making more ponderous the extension as a whole, the imitative effect of burdensomeness or laboriousness. Associated with the latter, on the other hand, is the interesting fact that 'during which there would be no rest day or night' is made to occur at a period where the mental strain or, in reading aloud, the exertion of the breath, may be most keenly felt, making for a dramatic enactment of the content. However, given that postmodifying extension does not involve nearly so much suspense or progressive burden on the memory as is found in premodifying arrest, the imitative effects referred to are relatively weaker in English.

Now, compared with the Chinese original or with the English versions just mentioned, translation (C) notably falls short, completely failing to make the syntactic form reinforce the propositional content. With the use of two simple



sentences to render the clause under discussion coupled with the omission of the juxtaposed 'without rest ...', (C) totally dissolves the syntactic tension created by Mao, resulting in a version marked by relative plainness, faintness or easiness. The reader is given the impression that the narrator is much more detached, an impression also ascribable to, among other things, (C)'s suppression of the exclamation marks. Clearly, in (C), the hardship facing the characters is toned down and the affective or the rhetorical force of the message is drastically reduced.

It should be noted that, in translating from Chinese into English, the use of a simple sentence to render a certain part of the heavy premodification in the original is by no means a rare practice. But in those cases, the heaviness of the premodification usually does not take on aesthetic effects or may not even lead to any notable syntactic tension. The decomposition, as it were, of the premodification by means of simple sentences in such cases does not therefore involve any loss of stylistic values. This general practice may well account for (C)'s regrettable use of two simple sentences to decompose Mao's heavy premodification. The problem is that (C) seems to have failed to notice the literary effects associated with Mao's case and to have treated it unjustifiably on a par with those cases which are not artistically motivated and which are no other than natural uses of the language. In fictional translation, it has to be stressed, one must guard against being misled by the general practice in dealing with the peculiarities of a given language. The novelist may consciously exploit some of those peculiarities to create artistic or rhetorical effects; and in such cases, specific corresponding means are demanded from the translator so as to achieve functional equivalence.

Before ending this section, it may be of interest to note that we have already touched on three different modes of the literary function of syntax, namely, a) exploiting the conventional values; b) extending the conventional

values; and c) creating an illusion of similarity. In the discussion of prominence above, the positive renderings shown in the first two examples present successful exploitation of the conventional values inherent in the forms concerned. In the immediately preceding case, Lu's use of the existential form to alert the reader, through foregrounding the semantic redundancy involved, to the symbolic significance of 'darkness' could be taken as an exemplification of mode b). There is, though, no clear-cut boundary between modes a) and b) which are frequently overlapping. Mode c) was reflected in 7.1. in Cao's rhetorical use of the 'covert changing of the subject' where the fast continuity generated in the decoding process creates the impression that the events depicted follow one another at a great speed. This mode is more tellingly illustrated by the present case where Mao's heavy premodification dramatically imitates, by virtue of certain superficial similarity, the relevant traits of the process concerned.

### 7.3.2. Sequencing

Linguistic mimesis always rests on some form of 'parallel' which exists between the linguistic fact and the content mimed. This is obviously the case when it comes to sequencing. The linear progression of syntax, which is analogous to the progression of processes, offers a possibility of miming, apart from the sequence of phenomena occurring in the fictional reality<sup>20</sup> or perceived by the reflector, the sequential inner thoughts or ideas.

It may be noted that stylistics is not concerned with automatized syntactic iconicity but artistically or rhetorically motivated iconic value in syntax. In fact, the normal syntactic order is often in keeping with the sequence of the reported processes (see Bolinger, 1980:20; Leech & Short, 1981:234-5). Such iconicity, though, being conventionalized or automatized, usually does not take on artistic function. This points to the fact that aesthetically-motivated iconic





'head first'. By this is meant that apart from 'authenticity', 'immediacy' or 'vividness' – the virtues usually associated with the presentation of impromptu thoughts – the iconic sequencing here effectively heightens the mood of desperation, an effectiveness partly attributable to the fact that in this novel the presented thoughts are normally well-formed, against which this disorder is foregrounded.

Given the differences in linguistic conventions between Chinese and English, the deviation involved in Lao's sequencing cannot be directly carried over into English. But its effect of heightening desperation can be conveyed by some functionally corresponding linguistic features, as one can see from translation (A). In this version, two commas are added (after 'bridge' and 'it'), which, allied to the choice of the adjunct 'right now' as well as the use of the infinitive verbal form, make the thoughts appear psychologically more immediate, structurally more terse and emphatic, semantically less coherent and emotionally more impulsive, all contributing to the mood of utmost desperation.

No attempt, though, is found in (B) and (C) to convey the effect generated by Lao's deviant sequencing. In (B), the thoughts are presented by two independent sentences, with the sentence boundary marking a transition from the (intended) action to its (imagined) consequences, which constitutes a perfectly normal sequence. Further, if the original version is in the mode of free indirect thought, (B)'s first sentence can only claim to be in the more distanced mode of indirect thought, with the adjunct 'actually' arguing the narrator's interference (see chapter 8). This distancing in mode (which semantically contains the replacement of the volitional 'want' by the volitionally neutral 'think about'), coupled with the 'normalization' of the sequencing, leads to a perceptible reduction in impulsiveness and dramatic urgency. This regrettable effect is shared by (C), a version marked by coherence, normal



sequence and a distancing change from free indirect thought to indirect thought.

The contrast between (A) and (B, C) bears on the issue of 'illogicality' discussed in the preceding chapter. But this is not what I would like to stress here. The point which I particularly want to illustrate with the present case is that deviant linguistic features in the source language may not be found deviant in the target language. It follows that, to preserve the iconic value or other kinds of stylistic values generated, the translator needs to use some other linguistic features in TL which are functionally equivalent to those involved in SL.

### 7.3.3. Juxtaposition

The linear progression of syntax<sup>22</sup>, though analogous to the progression of the individual process, goes against the fact that processes being depicted may happen simultaneously. Perhaps with only the exception of literature, in (visual) representational arts such as film or painting, simultaneous processes (which have to be described one after another in a linear text) can be shown at the same time. Within the linguistic domain, only at a more abstract level – that of the presentational versus representational (see Leech & Short, 1981:233) – descriptive means, mainly lexical, are available for conveying the simultaneity of processes, such as 'at the same time', 'while' or 'all'.

Given our present concern with syntactic form, I would like to draw attention to the fact that simply by shortening the normal syntactic distance, one may escape to some extent from the linearity of the text. Two cases will be looked into, both taken from Lao She's Rickshaw Boy; and the first:

(Lao) Xizhi men wai zhengzai zhuache,	da che xiao che
Outside the Xizhi Gate carts were being seized,	big carts small carts
Luo-che yang-che yiqi zhua.	

mule-carts modern-carts were being simultaneously seized.  
(rickshaws)

(A)<sup>23</sup> (He heard that no traffic dared leave the city.) Carts were being confiscated by warlord soldiers outside the Hsi Chih Gate; big ones, little ones, mule carts, rickshaws, all were grabbed. (p.14)

(B) ...outside the Western Gate of Forthrightness everything on wheels was being seized – wagons, pushcarts, mule-carts, and rickshaws. (p.16)

(C) (...no vehicle dared leave the city, for) whether carts or rickshaws all were being seized just outside Xizhimen Gate. (p.21)

What is depicted in Lao is an ominous situation. Soon after the protagonist is informed of this, he himself, together with his rickshaw, is seized by warlord soldiers and is tortured almost to death. The turmoil and chaos of war, the mood of inescapable danger, are emphatically conveyed by the deviantly close juxtaposition of 'big carts small carts mule-carts modern-carts (were being simultaneously seized)'. That the four goals<sup>24</sup> can be juxtaposed rests on the fact that they all share the same kind of process (otherwise one process would have to be depicted after another, e.g. 'big carts were being confiscated, small carts were being set on fire...'). Yet this advantage does not satisfy the author who, by the deviant omission of the punctuation marks in between, makes the four goals, now brought even closer together, appear more or less like one, thus creating a paradox between singleness (one goal, one process) and diversity (four different goals and four specific yet parallel processes: 'big carts were being seized, small carts were being seized...'), the former reinforcing the effect of simultaneity, the latter that of inescapability, both contributing to the mood of impending danger, while the tension between the two makes the effects all the more penetrating.

As shown above, Lao's deviantly close juxtaposition is not reflected in the translations. This may be accounted for by the fact that the Chinese '*da che xiao che luo-che yang-che*', which comprises only monosyllabic words without any consonant cluster, reads much more smoothly than its English counterpart.



Moreover, in classical Chinese poems, expressions are frequently juxtaposed without intervening punctuation marks. Both factors help to make Lao's deviantly close juxtaposition appear less deviant than its English counterpart.

We now move on from the juxtaposition of goals to the deviantly close juxtaposition of processes (acts):

(Lao)      Zou,            dei kangzhe lazhe huo tuizhe bingmende dongxi;  
When marching, he had to carry pull or push the soldiers' stuff;

              zhanzhu,        ta dei qutiaoshui shaohuo wei shengkou.  
when they halted, he had to fetch water light fires feed the pack animals.

(A) (He had been following the troops for days with sweat running down to his heels.) He was forced to carry or pull or push their stuff when they marched. He had to carry water, light fires, and feed the pack animals when they halted. (p.16)

(B) When they were marching, he was either pulling or toting or pushing the property of the soldiers. When they halted, he had to carry water, make fires, and feed the animals. (p.18)

This occurs after the protagonist is seized by the warlord soldiers. What is conveyed here is his nonstop toil and the means used in Lao to heighten the effect is again the deviant omission of punctuation marks: 'carry pull' or 'fetch water light fires feed the pack animals', whereby the successive or alternative processes are closely linked together, to the point of appearing somewhat like a single process. Thus there is found again a paradox between singleness (one process) and diversity (different successive or alternative processes), with the former imposing a measure of pseudo-simultaneity on the latter. Now if the medium were film, a similar effect could be achieved by showing the successive or alternative processes simultaneously – each occupying a certain part of the screen (i.e. 'split screen'), which, by virtue of the same paradox: singleness (one screen scene) versus diversity (with more than one scene on the screen), could generate, perhaps in a more striking manner, pseudo-simultaneity. Whether by omitting the punctuation marks or by

juxtaposing the scenes, the artists are trying to overcome the limitation of the medium involved.

As compared to the preceding case, the simultaneity conveyed here, being contrived, is at once more subtle and penetrating. The paradox obtaining between the artistically generated simultaneity and the actual successiveness or alternativeness makes for a metaphorical 'as if' – as if he were doing both or all of the things at the same time; and it is by virtue of the practical impossibility that the excessiveness of the toil is paradoxically intensified.

Not surprisingly, Lao's deviantly close juxtaposition again fails to appear in the translations. This time, the underlying reason seems to be more conventional than phonological. Indeed, the whole issue is essentially a matter of convention. In both cases, as far as intelligibility is concerned, the absence of punctuation marks does not, whether in Chinese or in English, pose a problem. But by convention, there have to be some textual gaps (in the shape of punctuation marks or conjunctions) to mark the boundaries between the juxtaposed goals or processes; and the conventionalized reader automatically expects the presence of the gaps. That the omission of these markers or gaps results in a pseudo 'singleness' argues the fundamental fact that the psychological distance (in the reader) between the goals or processes is in a sense contingent upon the textual distance between them.

By this is meant that, over and above one's experience of the world, the text contains certain conventions which (or, more precisely, the subversion of which) may act on the reader's interpretative process. Given the following two sentences:

- (i) He had to fetch water, light fires, and feed the pack animals
- (ii) He had to fetch water light fires feed the pack animals

the experience conveyed remains the same, but in (ii) the textual convention



suggests that 'fetch water light fires feed the pack animals' be interpreted as one process while the reader's world-experience says otherwise. It is this double decoding that produces subtle stylistic effects (compare the single decoding in (i) where the role of textual distance does not come into play). As distinct from the more central kinds of grammatical deviation, the matter here is a straightforward correspondence between the reduction of the textual distance and the reduction of the psychological distance. But the strategy in this kind of deviation is primarily the same as that employed elsewhere, which is to defeat, in the first place, the reader's conventional expectations.

Although, among other things, the lack of precedent in English makes Lao's deviantly close juxtaposition in a sense untranslatable, it seems worthwhile to present it here. The conventionalized association between textual distance and psychological distance is a feature shared by both (perhaps all) languages and is therefore an area that can be exploited for stylistic effects, not only in Chinese but also in English (cf. Bolinger, 1980:20; Leech & Short, 1981:239-42).

#### 7.4. PARALLELISM

In this section, attention will be directed to parallelism, a syntactic matter which features very prominently in the Chinese language. In Chinese prose fiction, parallelism, in various forms, constitutes one of the most frequently found rhetorical devices. What underlies this frequency is, at the very basic level, Chinese as a language: its monosyllabic structure and its tonal system which cooperate to provide ideal soil for such a symmetrical structure as parallelism.

While parallelism is used in European poetry, it occupies a much more prominent place in Chinese poetry where, instead of being a purely stylistic device, it often forms a semi-prosodic feature, required or expected in certain forms of poem, e.g. *lushi*. In terms of Chinese prose, its early development

was characterized for some long periods of time by the domination of *pianwen* which, literally translated, means 'parallel-composition'. Tradition as such can however be overly or misleadingly stressed. In fact, Chinese prose fiction is usually written in *santi*, a prose style which does not require parallelism. What should be stressed, though, is that in Chinese fiction, by virtue of the language combined with the tradition, parallelism appears to be more natural and to be more frequently employed than in English.

#### 7.4.1. Adaptation of Form

One of the novels that we are mainly concerned with, Cao's A Dream of Red Chamber (Honglou Meng), was written in the 18th century when *pianwen* ('parallel-composition'), though waning, was still an influential prose style. And it was adopted by Cao for, among other things, the description of the appearance of some characters. This style, marked by consistent rhythmical parallel structure and ornate figures of speech, is most certainly unfamiliar to, if not out of place in, 20th century English fiction. Translation (A) therefore finds it necessary to render the description into poetic form<sup>25</sup>, for example:

(A)<sup>26</sup> As to his person, he had:  
 a face like the moon of Mid-Autumn,  
 a complexion like flowers at dawn,  
 a hairline straight as a knife-cut,  
 eyebrows that might have been painted by an artist's brush,  
 a shapely nose, and  
 eyes clear as limpid pools,  
     that even in anger seemed to smile,  
 and, as they glared, beamed tenderness the while. (p.100-1)

Compare:

(B) His face was as radiant as the mid-autumn moon, his complexion fresh as spring flowers at dawn. The hair above his temples was as sharply outlined as if cut with a knife. His eyebrows were as black as if painted with ink, his cheeks as red as peach-blossom, his eyes bright as autumn ripples. Even when angry he seemed to smile, and there was warmth in his glance even when he frowned. (p.46)

The layout of (A) forms a visual signal of poetry towards which the reader has



a different set of expectations and in which Cao's ornate parallel figurative description, which is deviant in relation not only to English fiction but also to modern Chinese fiction, finds congenial accomodation.<sup>27</sup> It may be worth noting that this change by (A) in genre-form constitutes part of a larger strategy to 'naturalize' Cao, involving, among other things, the replacement of 'Buddha' by 'God', while no such effort is made by (B), whose aim is rather to introduce the differences in culture as well as in literary conventions. Each approach has of course its own justifications which, however, I shall not go into here. The point to notice is that (A)'s choice of poetic form may be regarded as being a functionally equivalent form. As a means of 'naturalization', it points to the possibility of neutralizing, up to a point, the differences in literary convention by resorting to genre-associated expectations. Adaptation of form may, nevertheless, sometimes lead to a regrettable loss of content, as is shown by the following case:

(B) (When they saw the pure translucent Stone which had shrunk to the size of a fan-pendant, the monk took it up on the palm of his hand and said to it with a smile: 'You look like a precious object, but you still lack real value. I must engrave some characters on you so that people can see at a glance that you're something special.) Then we can take you to some civilized and prosperous **realm**, to a cultured **family** of official status, a **place** where flowers and willows flourish, the **home** of pleasure and luxury where you can settle down in comfort.' (p.2; my boldface)

(A) (...) After that I shall take you to a certain  
 brilliant  
 successful  
 poetical  
 cultivated  
 aristocratic  
 elegant  
 delectable  
 luxurious  
 opulent  
 locality on a little trip'. (p.48)

First, some contextual information needs to be given. The origin of Cao's novel (entitled by some versions The Story of the Stone) is attributed to a magic

stone which is brought by a monk and a Taoist into the human world and whose account of its experience there constitutes the rudimentary version of the novel. The present passage (see B) depicts the monk's and Taoist's discovery of the magic stone and the monk's promise to take it to the human world.

In the light of the context, it will have emerged that (B)'s 'realm', 'family', 'place' and 'home', which are closely translated from Cao, combine to refer to the major scene of the novel. As the first mention of the scene which is not gradually unfolded until some pages later, the four rankshifted nominal groups (which are, in the original, strictly parallel to each other) take on psychological prominence, contextual importance, and, further, arouse in the reader a measure of suspense.

In version (A), Cao's four parallel nominal groups are rendered into a single one by means of the superordinate term 'locality'. It is not clear whether this substitution is motivated by a desire to use the quasi-poetic layout or whether the layout is necessitated by the substitution. If we assume that the latter is the case, the quasi-poetic layout certainly helps to make acceptable what is otherwise unacceptable. Compare the prose form:

'... After that I shall take you to a certain brilliant, successful, poetical, cultivated, aristocratic, elegant, delectable, luxurious and opulent locality on a little trip.'

In adopting the deviant layout, what (A) resorts to is perhaps not only conventional expectations associated with poetry but also those associated with such a genre as advertisement in which we frequently find the enumeration of attributes vertically set out.

Now if we reverse the hypothesis and assume that the superordinate 'locality' is used to pave the way for the deviant layout, the translator's purpose would then be seen as one of highlighting these epithets and, possibly, of



giving the monk's utterance some supernatural flavour as well as of adding to this certain 'locality' some mystical colour, which helps to heighten the reader's interest and, significantly, suspense.

These are desirable stylistic effects but seem to have been achieved at the expense of some content. According to an authoritative commentary (see the Qi version, p.4), Cao's four nominal groups refer to four different yet closely associated scenes: '*bang*' ('realm') – the capital city, '*zu*' ('family') – the Rong Mansion, '*di*' ('place') – the Grand View Garden, '*xiang*' ('home') – the Orchid Studio, with the latter three situated in the first. Each nominal group – at least of the latter three – is in a sense used synecdochically and each therefore takes on a general reference superimposed on the specific. Because of the parallelism obtaining between the nominal groups (a feature more notable in Cao than in B), the general reference receives emphasis while, however, the specific reference persists. Thus the reader is on the one hand given the impression that the four parallel nominal groups refer to (different aspects of) the same general locality while, on the other, being aware that each may refer to a different specific locality. The ambiguity or the interplay of the general and the specific, coupled with the interaction between the parallel general or specific references, gives rise to interest, suspense and, not least, a good deal of subtlety. Apparently, these multilayered stylistic effects are brought towards singleness in version (A) where the subtle interplay of the general and the specific is brought towards generality only. By this is meant that (A)'s adaptation of form involves not only a partial loss of content (the specific references) but also a loss of some desirable stylistic values.

#### 7.4.2. The Preservation of Parallelism

Having dealt with the side issue of the shift from prose to poetic form, we now come to the central concern, that is, the transference of parallelism within

the prose form. It is understood that many cases of parallelism in Chinese are based on linguistic and literary conventions which are not, at least not fully, shared by English. Thus what is very natural in Chinese may appear redundant and perhaps even incongruous in English or, more to the point, what is partly automatized in Chinese may seem to be fully motivated, hence overly emphatic in English (for exemplification, see note 28).

Yet for all the frequent need to sacrifice parallel patterns in order to avoid redundancy or over-emphasis, parallelism in the Chinese original is not infrequently seen to be worth preserving in its English translations so as to produce similar literary effects. In what follows, attention will be directed to two cases – both taken from Lao's Rickshaw Boy – which serve to illustrate the relevance of parallelism to literary significance and the necessity, where applicable, of preserving parallelism in fictional translation.

#### (a) For Emphasis

(Lao) Yiqi ta zoudaole Guanxiang. Kanjianle renmade mangluan,  
He walked to Guanxiang in one stretch. He saw the bustle of people and

tingjianle fuza-chierde shengyin, wenjianle ganchoude weidao,  
horses, heard the mixed ear-piercing sound, smelled a dry stinking smell,

tashangle xiruan-wuzhuode huitu, Xiangzi xiang paxiaqu wenyiwen nage  
trod on the soft filthy dust, Xiangzi wanted to be on all fours to kiss that

huichoude di, ke'aide di, shengzhang yangqiande di! (chapter 4)  
grey stinking earth, lovely earth, earth that grew silver dollars!

(A) ... He got almost to the northwest gate in one stretch.

When he saw the bustle of people and horses, heard the ear-piercing racket, smelled the dry stink of the road, and trod on the powdery churned-up gray dirt, Hsiang Tzu wanted to kiss it, kiss that gray stinking dirt, adorable dirt, dirt that grew silver dollars! (He had no father or mother, brother or sister, and no relatives. The only friend he had was this ancient city. This city gave him everything.) (p.31)

(B) In one stretch he walked to the entrance of the West Gate. Seeing there the rush of horses and men, hearing the medley of ear-piercing noises, smelling the stench of the dry dust of the road, treading that stinking dust himself, Happy Boy felt like getting down in the street and kissing the earth, the earth that he loved, the earth that sustained him! (p.30)



(C) Without stopping again for breath he trudged to Guanxiang. The medley of horses and people there, the cacophony of sounds, the stench of dust so soft beneath his feet tempted him to stoop down and kiss the malodorous earth, the earth that he loved, that was his source of money. (p.39)

It will be recalled that Lao's protagonist was seized by warlord soldiers who almost tortured him to death. After a narrow escape, he 'longed to see the city again ... the whole city was his home and once there he would find a way out' (Lao, p.25). The present passage depicts his arrival, after an arduous trek, at the entrance of the city. In Lao, all his sensory perceptions except for taste are described in succession with four well-wrought parallel clauses (an artistry which is not fully translatable<sup>29</sup>). What is given emphasis is clearly the impingement of the city on his senses or, in more specific terms, the fact that he is now able to see with his own eyes, to hear with his own ears, to smell with his own nose, and to touch with his own feet, the city: his 'home', his 'only friend'.

The parallelism in Lao is well captured by (A) and (B), though syntactically the clauses are reduced from main to subordinate or to participial. As the use of subordinate clauses is an open alternative in Chinese (*'dang ... shihou*), Lao's choice of main clauses is probably motivated by a desire to foreground the sensory perceptions. This is however hard to preserve in English where, as shown above, the use of main clauses involves a weakening of the causal relation between the perception and the desire<sup>30</sup>, a relation that has to be reflected structurally, if not lexically, in English. We may note that the relative loss of prominence in question is to a certain extent actually compensated for either by (A)'s paragraphing (which I see as an attempt to make more prominent the sensory perceptions) or by the phonological impact taken on by (B)'s 'Seeing...hearing...smelling...treading'.

The emphasis on sense perception is nevertheless lost in (C) where the parallel predicators 'see' 'hear' 'smell' 'tread on' are one and all omitted. If in

Lao the pattern develops as Perception of Object to Desire, in (C) it proceeds instead as Object to Desire, with the act of perception implied only. Such a difference in pattern is seen to act on the relation between the perceiver and the object. In Lao, the spelling out of the **impingement** of the object on the senses has the effect of linking the perceiver closely with the object, a tie that is perceptibly loosened in (C) where the senses appear to be more passive and relatively distanced from the object. Although some compensation seems to be offered by 'tempt' which makes explicit a causal relation originally only implied, what receives emphasis is still the city's attraction in itself rather than the fact that the protagonist is finally able to perceive the city **with his own senses** (notice the addition of 'himself' in (B)'s 'treading that stinking dust himself').

This case seems to shed some interesting light on the relation between 1) the use of language 2) psychological prominence 3) fictional reality. In the 'self-contained' fictional world, psychological prominence plays an important role in terms of the 'light and shade' of the phenomena depicted. As indicated here, to spell out what is inferable is in a sense to make it psychologically more prominent and, consequently, to foreground or highlight it as a fictional occurrence. Conversely, to make implicit what is originally stated is to reduce its psychological prominence and, further, to background it as a fictional event. Given the following two alternative expressions:

- (i) A bird flew over her head. (from 'her' point of view)
- (ii) She saw a bird flying over her head.

despite the fact that (i) and (ii) can be said to refer to the same fictional reality: the bird's action and her perception, the linguistic difference or, more to the point, the resulting difference in psychological prominence, does seem to background her perception in (i) while foregrounding it in (ii). It could even be



said that the bird's action is relatively foregrounded in (i) as well.

Now it may be both interesting and revealing to compare this relation between the psychological prominence and the prominence of fictional events (which was focused on in 7.2. Syntax and Prominence) with the relation between the psychological pace and the pace of fictional events examined in 7.1. or, similarly, with the connection between the textual (psychological) distance and the fictional distance discussed in the preceding section. Indeed, it is this close association between various linguistically produced psychological effects and the fictional phenomena that enables the novelist either to control linguistically the light and shade of the fictional world or to shape the fictional reality by linguistic means (see 7.5.).

In this regard, and concerning parallelism in particular, it is worth drawing attention to the visual or phonological impact of the linguistic signs. In the analysis above, I touched on the relevance of (B)'s 'seeing...hearing...smelling...treading' to psychological prominence. Actually, fuller feminine rhyme is found in Lao's four parallel predicators '*kanjianle...tingjianle...wenjianle...tashangle*'. Through echoing each other by partial phonological identity as well as reinforcing each other by semantic and syntactic similarity, these parallel predicators become psychologically more prominent which operates to emphasize the sense perceptions as fictional phenomena.

Such echoing or reinforcing for the purpose of emphasis is a feature characteristic of parallelism. Although in many cases, parallelism in the Chinese original has to be sacrificed so as to avoid over-emphasis in English (see note 28), in cases like the present one, the parallel patterning involved needs to be carried over so as to preserve the desirable emphasis in the translations.

(b) For Circularity

In parallelism, another prominent feature is circularity, which is closely associated with but distinct from emphasis (one may note that the most circular form – repetition – is a form of emphasis). It is true that, unless associated with desirable stylistic values, circularity as a feature in itself, does not really deserve reproduction. But in cases where the circularity involved is consciously worked out to generate aesthetic or thematic effects, it may have a strong claim to preservation. Such is the case with the following example where ‘circularity’ plays an important part in artistically shaping the character’s emotions:

(Lao) Youshihou **xinxi**, yousihou **zhaoji**, yousihou **fanmen**, yousihou  
/sometimes **happy**, sometimes **anxious**, sometimes **glum**, sometimes

wei **xinxi** er youyao **cankui**, yousihou wei **zhaoji**  
for **happy**[iness] would feel ashamed, sometimes for **anxious**[ness]  
(because of)

er youyao **ziwei**, yousihou wei **fanmen** er youyao **xinxi**  
would console himself, sometimes for **glum**[ness] would feel **happy**/

ganqing zai ta xinzhong raozhe yuanyuan, ba ge zui jiandande ren  
emotions were **circling** in his heart, which made this simplest of men

naode bu zhidaole dong-nan-xi-bei. (chapter 19, p.177)  
unable to tell east from west or south from north.

(boldface mine; within // basically word-for-word translation)

(A)<sup>31</sup> (She wouldn’t let him work at night and wouldn’t let him get a good night’s sleep either. He was in a daze all day long, hadn’t a thought in his head, and didn’t know what to do.) Sometimes he was **happy**, sometimes he was **anxious**, sometimes he was **glum**. Sometimes he was **happy** and then ashamed of himself for being happy. Sometimes he was **anxious** and had to comfort himself because he was anxious. Sometimes he was **glum** and then had to **cheer himself up** because he was glum. Emotions revolved in his heart in circles and made this simplest of men so upset he couldn’t tell east from west or south from north. (p.191; boldface mine)

(B) (...) He felt pleased, anxious and annoyed by turns, with sometimes a sense of guilt over his pleasure or of consolation in his anxiety. And being such a simple soul, these conflicting emotions made him lose his balance. (p.192)



This passage (see A) depicts another impossible situation in which Lao's protagonist, a poor rickshaw puller, finds himself. His wife is about to give birth to a child and becomes more demanding of both money and attention. After a day's hard toil, he only finds himself deprived of a good night's sleep by a trying wife. Thus the feeling of happiness at the prospect of becoming a father is mingled with financial worries, anxiousness and glumness.

In Lao (and A), two sets of parallel clauses are used to form a 'circle' ('happy' — 'glum' — 'happy'), a circle marked by ambiguity or paradox that comes largely from the consistent use of the adjunct 'sometimes' and from the final parallel clause. Compare the following two alternatives:

- (i) 'sometimes' in the first set  $>$  'sometimes' in the second  
       'happy' (1)  $>$  'happy' (2)        'happy' (1)  $\neq$  'happy' (3)  
           ( 'xixi' = 'happy' )

- (ii) 'sometimes' in the first set = 'sometimes' in the second  
       'happy' (1) = 'happy' (2) = 'happy' (3)  
           ( 'xixi' = 'happy' )

If the occurrences of 'sometimes' in the first set of parallel clauses do not correspond to those in the second and if the first 'happy' only partially overlaps the third (see i), the description is one of conflicting emotions. But if the instances of 'sometimes' in the two sets share the same temporal references and if the first, second and the third 'happy' can be equated with each other (see ii), 'happy[iness]' would always be a result of glumness and always be accompanied by shame, in which case, the overall circle ostensibly displaying 'happy[iness]' at the beginning, middle and end would be a combination of similarly unhappy feelings (notice Lao's use of 'circling' versus (B)'s 'conflicting').

While one's experience of the world inclines one to adopt the former

interpretation, the linguistic form – the lexical identity coupled with the structural parallelism – slants one towards the latter<sup>32</sup>. Thus one decoding is superimposed on another, making for an impressionistic 'as if': as if the protagonist's happiness were always caused by glumness and accompanied by shame and, further, as if the happy and unhappy feelings were all on the unhappy side.

By virtue of subtly undermining 'happiness' through the latter decoding, this well-wrought circle foreshadows the tragic birth (which involves the death of both mother and child) and, further, points to the underlying theme, namely, the disintegration of a rickshaw puller who 'has to take the lowest place in the human world and wait for the blows from every person, every law and every hardship' (Lao, p.108).

It is surely regrettable that this artistic circle is lost in version (B) which not only leaves out the last parallel clause (one that plays a key role in forming the circle)<sup>33</sup> but also combines the first set of parallel clauses into one clause while reducing the second to the position of adjunct. What results from this is a straightforward or transparent description. The reader is given the impression that the protagonist's happiness (or 'pleasure') is no longer caused by any unhappy feeling and is definitely not always, though sometimes, accompanied by 'a sense of guilt'. Notice the different effect achieved by version (A)<sup>34</sup> where the paired clauses leave room for ambiguity and make for the double decoding which subtly contributes to the underlying theme.

Now, summarizing the above analyses of syntax and lexis (only the 'formal' cases or cases marked by an interaction between the 'formal' and the 'existential' principles), I would like to discuss briefly the relation between linguistic form and fictional reality.



## 7.5. LINGUISTIC FORM AND FICTIONAL REALITY

The relation between linguistic form and fictional reality in narrative is essentially a relation between the narrating discourse and the narrated story. This relation is composed of similarity and of contrast: the similarity, if involving conscious manipulation, is usually embodied by the deliberate use of linguistic form to imitate the fictional reality, while the contrast typically displays an effort to exploit linguistic form to shape the experience depicted.

### 7.5.1. Imitating the Fictional Reality

Representing 'linguistic mimesis' in the narrow sense, the schema involved in this aspect is basically one of matching, such as the matching of the close juxtaposition 'big carts small carts mule-carts rickshaws...' with the simultaneity of the processes concerned (7.3.3.) or, similarly, the use of the heavy premodification to enact the laborious and lengthy nature of the process involved (7.3.1.). The stylistic effect here comes from the author's deliberately manipulating linguistic form to achieve such a correspondence and from the reader's realization of the existence of such a correspondence (which may lead to a new awareness of the iconic potential in language).

The correspondence between syntax and reality which we have been examining is fairly straightforward. This is to be attributed largely to the fact that the reality against which the syntax is judged is in itself readily comprehensible. When the reality involved becomes more elusive, the syntactic schemata used to enact the reality may become highly subtle or highly complex. This is in general more typical of poetry than of prose fiction (with, of course, the exception of such experimental novelists as Woolf or Joyce).

### 7.5.2. Shaping the Fictional Reality

As indicated by the analyses above, in literary discourse, linguistic form may go beyond the point of matching the reality to the point of shaping the reality. In 7.1., it was shown how 'pace' could, for this or that thematic purpose, be rhetorically hastened or slowed down. Even more striking is the pseudo-simultaneity discussed in 7.3.3. where the deviantly close juxtaposition 'fetch water light fires feed the pack animals' results in a metaphorical 'as if': as if he were doing all of the things at the same time. No less interesting is the last example discussed under 7.4. where we saw how circularity generated by parallelism, coupled with semantic ambiguity, operates subtly to undermine the protagonist's happiness.

In the preceding chapter, attention was also drawn to certain of the ways in which lexical form could be used to shape the reality. If the antithetical 'unfortunate enough to win' functions somehow to alter the nature of the winning process as such (6.1.1.), the contradictory 'except for those creatures who wander in the night, all was asleep. Hua Laoshuan suddenly sat up in bed' is seen dramatically to intensify the unexpectedness of the character's action (6.1.3.), while, more interestingly, the use of the complementary 'he constantly saw some shadows of ghosts, as if they were really there', in place of 'as if he constantly saw some shadows of ghosts', seems to go some way towards objectifying the character's hallucination (6.1.2.).

As distinct from imitating, in cases of shaping the reality, what is conveyed by the linguistic form is a meaning over and above that of fictional events as such. It is worth stressing that the relation obtaining between the linguistic form and the fictional reality here is, instead of one of correspondence, one of divergence or contrast. If, both in imitating and in shaping the reality, the reader has a double decoding, the nature of the double decoding in imitating is



seen to differ fundamentally from that in shaping. In the former case, the decoding of form reinforces the decoding of the experience depicted (e.g. the heavy premodification reinforces the laborious nature of the process concerned) whereas in the latter case, the decoding of form conditions the decoding of the reality involved (e.g. the pseudo-simultaneity implied by syntax conditions the reader's interpretation of successive events). The typical effect which comes from the latter double decoding is paradox, due to the fact that, say, one's world experience suggests successiveness whereas the linguistic form makes for simultaneity. The correlation between the two decodings often, if not always, results in a paradoxical 'as if', say, as if the successive events were happening at the same time. And it is through the paradoxical 'as if' that the immediate thesis or the underlying theme is subtly yet emphatically conveyed.

Now in other kinds of representational art such as film, painting or photography, various techniques are available in terms of shaping versus imitating reality. In film, for instance, there exist such devices as special shot, trick shot or slow motion. Within the linguistic domain, the means used to shape reality can take the form of deviations from various conventions (which, though, may also be used as means of imitating the reality). In the lexical cases just referred to, the effects are ascribable to the violation of the relevant rules, i.e., to contradiction, exaggeration or the splitting of one statement into two complementary ones. In this chapter, I have tried to draw attention particularly to the deviation that operates on the syntactic shape and to the way that such deviation acts, by virtue of the resulting psychological effects, upon the reality depicted.

The point to notice is that, whatever the linguistic form involved, it is used here to colour the represented phenomenon by creating an additional decoding with which the phenomenon is not usually associable. It is this artistically

produced, superimposed decoding that in particular embodies the authorial point of view (either directly or derivatively – as in the case of first-person narration), that takes on thematic significance and that accounts for stylistic values.

### 7.5.3. Imitating or Shaping?

In interpreting a realistic novel (which forms my major concern), one can normally assume that the fictional world is in a sense isomorphic with the real world and one is therefore able to use one's experience of the world as a criterion. Indeed, it would make little sense to draw a dichotomy between 'the fictional reality' and 'the value suggested by the linguistic form' in such a case like:

I am the enemy you killed, my friend... (Owen)

where it also makes no sense to draw a distinction between imitating and shaping the reality: a distinction that can, though, be drawn hypothetically without difficulty in the case of realistic prose fiction.

But this is only a hypothesis. Even in realistic fiction, the borderline between imitating and shaping is frequently covered up by different degrees of overlap found between the two. Take the 'redundant encoding' discussed in 6.4.2. for example:

It took one year, two years, at least three or four years, and one drop of sweat, two drops of sweat, who knows how many millions of drops of sweat, until the struggle produced a rickshaw.

On the face of it, the writer is trying to represent faithfully the process of time passing or sweating. But is there no effort made to shape the reality? I have already discussed the way that the significance of each drop of sweat is



magnified – not only by counting what is in a sense uncountable or by recording literally what is in a sense metaphorical but also by borrowing semantic strength from 'one year, two years'. It is easy to imagine that the same effect can be achieved in film or photography by a close-up.

In fact, apart from the magnification, the semantic contrast obtaining between 'one drop of sweat, two drops of sweat' and 'who knows how many millions of drops of sweat' also makes for subtly shaping the reality, since the abrupt switch from a close-up of the initial process to an overall summary involves presenting the reality from a specific angle and directing the reader's interpretation in a particular way.

Here it seems worth stressing once again that the whole matter is in essence one of convention. If the switch from a description of the initial process to an overall summary were a way of presentation that is conventionalized, then there would be no element of 'shaping' involved. For the interpretative process would then be automatized. The point may become more apparent if we have another look at Conrad's:

She saw there an object. That object was the gallows. She was afraid of the gallows.

If the presentational mode always went as, say, 'He saw there a man. That man was John' or 'He saw there an animal. That animal was a cat', it would make no sense to talk in Conrad's case about the effect of **slowing down** the perception process (see 6.4.1.). Indeed, such is the working of language and such is the relationship between language and reality. Simply by spelling out what is normally or conventionally presupposed, the automatized interpretative process may be disturbed which in turn may bear on the reality depicted.

Clearly, the examination of the relation between linguistic form and fictional reality is essentially an investigation into the relation between the fictional

reality and the bearing brought on it by the all-encompassing authorial consciousness (in the 'monologic' type of fiction of course). It is worth stressing that, in 'monologic' fiction, the imitating or, particularly, shaping effects of linguistic form - effects which are thematically-motivated and which directly or derivatively embody the authorial point of view - are of great artistic significance and have therefore a strong claim to preservation in translation.



## CHAPTER 8

### SPEECH AND THOUGHT PRESENTATION

In narrative, a character's speech (S) or thought (T) may appear in a range of reporting modes, through which 'language reveals its different functions' (Banfield, 1982:23). The contrast between these modes primarily in terms of the communicative and expressive functions enables these paradigmatically-related forms to provide effective means for the novelist to vary point of view, tone and distance.

Because of the differences of linguistic and literary conventions that can exist between languages, the interlingual conveyance of the character's S/T may at times be subjected to the constraint that no equivalent mode in TL is available. Or if available, the resulting literary effect may be quite different. The demand upon the translator is therefore not only that of acquiring a full awareness of the different functions or effects taken on by the reporting modes but also that of a readiness to make contextual adjustments when called for. In what follows, much attention will be directed to the translator's desirable adaptations, some of which present definite improvement on the original (interestingly, the contrast between the shortcomings of the original and the translator's improvements also operates to shed light on the functions of the reporting modes involved).

It is notable that in contrast to the sustained investigation made of intralingual S/T presentation in narrative, no critical attention seems to have been paid to interlingual S/T transference. This total neglect underlies my devoting a whole chapter to this area. The discussion here seeks to offer some fresh insights into the contrastive functions or effects associated with the different reporting modes and into the relevant literary conventions which condition the writer/translator's choice; and, in a more general sense, into the

way in which fictional discourse is organized. Given the special need of translation, attention will also be directed to some more basic problems of style, such as the functional correspondence between reporting verbs.

### 8.1. TWO SPEECH SITUATIONS

In the discussion of speech presentation, there are usually postulated two speech situations: one is referred to as the 'primary' or 'reporting', in which the narrator (authorial or dramatized) reports the given utterance to the reader; the other is called the 'secondary' or the 'reported'/'embedded', in which the original speaker of the utterance addresses the original addressee. This twofold speech model is challenged by Banfield who contends that, in third-person narration, the assumption that there is an authorial narrator narrating his tale to the reader does not hold (see 1982:10; 164; 183ff; 222). Such a text, that is to say, ought to be regarded as autonomous. Thus, the switch in tense and person in *le style indirect libre* in third-person narration is deemed not ascribable to the narrator (1982:68-9).

Of the two contending positions, I shall adopt, as I did in the preceding chapters, the one which acknowledges the presence of the authorial narrator (in third-person narration) and so the presence of the twofold speech situation as such. This adoption can rest, insofar as Chinese fiction is concerned, simply on an empirical consideration. In classical Chinese third-person novels, which developed from scripts for story-telling, there is invariably linguistic evidence of the presence of the narrating voice, such as 'talking about' (*'huashuo*) or 'gentle reader' (*'kanguan*). Although the influence of the story-telling tradition waned as the novel developed from 1919 (the New Cultural Movement) into a more modern form where there is seldom a direct address to the reader or an explicit reference to the narrating voice, the (normally omniscient) narrator's presence is still reflected in the form of fairly frequent narratorial commentary.



Indeed, the narrating voice is so much taken for granted that one is not surprised to find on the narrative plane the use of '!' (which marks the narrator's emotional involvement - see, for instance, Mao Dun's Midnight, pp.9-10) or the use of interpersonal adjuncts, such as 'naturally' (*'ziran'*) (which marks the narrator's interpretative involvement - see, for instance, Lu Xun's 'Tomorrow').

## 8.2. BASIC MODES IN ENGLISH

In English, the traditional dichotomy: direct speech (DS) versus indirect speech (IS) has been found inadequate to give a satisfactory coverage of the diversified types of speech presentation. Free direct speech (FDS) and free indirect speech (FIS), which have been developing in English fiction at least since the 19th century, were added around the 60's (following the earlier practice of French stylisticians) to the categorical framework (cf. Banfield, 1982:228ff.; Gregory, 1965:43; Jones, 1968:163). Further systematic subdivision and expansion is made by Page (1973:35) who offers a framework composed of eight types: from DS to 'slipping'. A neater, though less elaborate, distinction is found in Leech and Short (1981:344) where five basic modes are presented as follows:

				NORM		
Speech presentation:	NRSA	IS	FIS	DS	FDS	
Thought presentation:	NRTA	IT	FIT	DT	FDT	
		NORM				

(NRSA = Narrative report of speech act, T = Thought)

As distinct from Page's analysis, this arrangement from NRSA to FDS forms a neat cline with a gradual decrease in the narrator's interference and a progressive increase in immediacy. I shall adopt this categorization made by Leech and Short, but meanwhile, for the sake of economy, follow Page in

treating speech and thought presentation together (referred to as 'S' and 'T' respectively when necessary).

It should be made clear that I do not wish, by adopting Leech and Short's classification, to commit myself to their underlying criterion for determining FIS – 'that features from any of the three major linguistic levels might be instrumental in indicating that a particular sentence is in FIS' (1981:331). They offer two examples to illustrate their contention:

- (1) He said that the bloody train had been late.
- (2) He told her to leave him alone!

Here, the only features which show that we are dealing with FIS are the swear word in the first sentence and the exclamation mark in the second. Neither of these forms are normally used by narrators in novels, and so inevitably evoke the character's manner of expression.

I would prefer to follow Page (1973) and call such sentences 'coloured' IS. For the application of FIS to (1) and (2) which exhibit subordination is somewhat misleading, since it is the suppression of subordination that, as systematically investigated and linguistically formalized by Banfield, enables FIS to 'develop as a form distinct from either indirect or direct speech' (1982:233).

It should be noted that 'coloured' IS, whose subordinate clause retains certain embeddable lexical or graphological features expressive of the quoted speaker's subjectivity or point of view, is frequently found both in English and Chinese fiction (see note 1). Unfortunately, this reporting mode lies outside Banfield's generalization of 1E/1 SELF, which is, though, supposed to cover all reporting modes (see Banfield, 1982:93). According to Banfield, a sentence of IS constitutes a single E (to be understood as expression), with the quoted clause forming an embedded  $\bar{S}$ . 'Since the SELF is related to the node E,' Banfield asserts, 'indirect speech may not introduce in its quoted  $\bar{S}$  a new SELF' (pp.93–4). But what happens in 'coloured' IS is that a new SELF is introduced



in the quoted  $\bar{S}$ : the swear word or the exclamation mark in the two cases above apparently expresses the subjectivity of the quoted speaker rather than the quoting speaker (the speaker of the entire E)<sup>2</sup>. Given the following two sentences:

- (a) Oedipus said that Momma was beautiful. (from Banfield,p.56)
- (b) Oedipus said that his Momma was beautiful.

Banfield is right in saying that, in (a), 'Momma' is seen to refer to the mother of the entire E's speaker and not to Oedipus' (ibid)<sup>3</sup>. But in (b), the term 'Momma' could be expressing Oedipus' (the quoted speaker's) subjectivity.

Now, given the two speech situations referred to above, there are in every reporting mode two potential SELVES: the SELF of the reported/original speaker and the SELF of the reporting speaker. In IS, the reported SELF is usually suppressed due, among other things, to the subordination (which excludes non-embeddable expressive elements) and the conventionalized neutral reporting style. But if the reporting speaker forsakes the neutral reporting style and retains certain lexical or graphological features expressive of the quoted speaker's subjectivity, a new SELF may naturally appear in the quoted  $\bar{S}$  (see note 4).

### 8.3. BASIC MODES IN CHINESE

Modes of speech presentation in Chinese form an area that has received scant investigation. The clear-cut dichotomy of DS and IS has hitherto been the sole distinction, one that completely fails to account for many modes of S/T presentation in Chinese fiction. To provide a more adequate framework for analysis, this section will be concerned both to introduce the familiar categories and to define certain modes lying between or outside them.

### 8.3.1. The Formal Relationship Between DS and IS

Not until the New Cultural Movement (around the May 4th Movement in 1919) were quotation marks introduced from the West into China. Prior to that, only two kinds of punctuation (‘,’ ‘.’) were used, which functioned not only as the modern ‘,’ and ‘.’ but also as ‘?’ ‘!’ ‘;’ ‘””’ etc.. This means that punctuation had no role to play in distinguishing DS from IS. And given the fact that in Chinese there is no ‘backshift’ in tense nor is the subordinating conjunction ‘that’ or capitalization used, the remaining differentiating clue is often no more than the personal pronoun (the first/second vs. the third), in the absence of which it becomes difficult to tell whether a given utterance is DS or IS<sup>5</sup>.

With the introduction of quotation marks, DS and IS have been clearly marked off from each other. But the fact remains that, except for the personal pronoun, which is sometimes omitted in Chinese, there can be no perceivable linguistic difference between IS and the speech in quotation marks. The relatively minor difference between DS and IS has resulted in a relatively weak linguistic sensitivity to the opposition between the two modes. In Chinese, IS seems to be more frequently ‘coloured’ than in English. Very often the narrator does not bother about the ‘backshift’ in temporal adjuncts nor ‘remote shift’ in spatial deictics; nor does he try to get rid of the idiosyncrasy of the character’s speech (cf. note 1).

### 8.3.2. NRSA, FIS, FDS

The terminology NRSA, FIS and FDS (8.2.) can in fact be readily applied to the practice of Chinese writers. In the first classical novel The Three Kingdoms (San Guo Yanyi) by Luo Guanzhong (written in the fourteenth century), NRSA is already in evidence, e.g.:

Zhang Fei mei ri zai Zhaiqian jiaoma. (chapter 22)



(Zhang Fei shouted curses everyday in front of the camp.)

This shows that from the beginning the Chinese novelist was ready, by taking advantages of the written medium, to summarize low-pressure speech in order to achieve narrative economy.

FIS and FDS are also used in classical Chinese novels (see for instance Cao in 8.7.), but in these, owing to the predominance of DS, their occurrence is relatively rare. After the New Cultural Movement around 1919, which began to introduce great influences from western culture, FIS and FDS came to be frequently used by the less traditional Chinese novelists. Up to now, there remain two major trends of development: on the one hand, traditional novelists have stuck to the predominant use of DS, while on the other hand, in the more innovative novelists<sup>6</sup>, one finds the frequent or dominant use of FIS and FDS.

### 8.3.3. Blend

In 8.3.1, I pointed out that due to the idiosyncrasy of Chinese, there may not be any demarcation between IS and DS except for quotation marks. This means that IS can sometimes pass for FDS or vice versa<sup>7</sup>. To avoid confusion, this peculiar type of speech, one that is liable to two or more interpretations, requires a new name which I shall call BLEND.

It should be noted that blend also occurs in English, where, however, it seems to be limited to two particular cases. One is that of a moodless clause (or a clause with a tenseless modal verb) which may be liable to the interpretation of either FIS or FDS (esp. when immediately preceded by FIS). The other case involves the ambiguity between authorial statement and FIS: when the tense and pronoun selection are appropriate to either, both interpretations become possible (see Leech & Short, 1981:338-40).

In Chinese, these two kinds of English blend have their counterparts which,

nevertheless, do not in themselves present any difficulty for the translator and are therefore to be left aside<sup>8</sup>. What concerns us here are the 'finite' Chinese sentences which, by virtue of being free from verbal tense indicators, frequently give rise to a two-ways or three-ways ambiguous mode. But of course the ambiguity arises only when other formal discriminating features are absent; particularly, when the pronoun is omitted. Since both the tense and pronoun have to be specified in English, the translator is often placed in a dilemma.

In Chinese, blend is not only frequent in occurrence but also rich in variety. It basically falls into three types: IS/FDS; FIS/FDS; NR/FIS/FDS (for their exemplification and transference, see 8.5.).

#### 8.3.4. A General Framework

##### Modes of Speech (or Thought) Presentation in Chinese

(NRA)	NRSA	IS	FIS	DS	FDS
		IS/FDS			
		FIS/FDS			
		NR/FIS/FDS			

So far as the five basic modes are concerned, there is a correspondence between Chinese and English. Nonetheless such general correspondence does not always ensure that in specific contexts a certain TL mode is functionally equivalent to a corresponding SL one. A shift in mode may from time to time be called for.

#### 8.4. THE TRANSFERENCE OF DS

DS, 'the most purely mimetic type of report' (McHale, 1978:259)<sup>9</sup> predominates in traditional Chinese novels. Being 'actual words spoken', DS not only reproduces the communicative and expressive functions of the reported



speech act but also enables the novelist to bring into full play the character's idiolectal features. It therefore contributes to characterization in a more distinctive and dramatic manner than IS. Even when it is used mainly to advance plot, it takes on an immediacy and a direct impact not found in IS (cf. Banfield, 1982; Page, 1973).

In this section, attention will be directed to the use of DS in a representative traditional Chinese novel – Cao Xueqin's Honglou Meng (written in the middle of the eighteenth century) and the corresponding modes chosen in its three translations<sup>10</sup>.

#### 8.4.1. From DS to DS(or FDS)

In Cao, the reader often can identify the characters by the words they utter, with 'the words' playing an essential role in revealing the characters' inner-selves or temperaments. And it is the mode of DS (as opposed to the less direct modes) that provides a full scope for the individual tone and expression. With a few exceptions, Cao's DS is rendered by the translations (A) (B) (C) into DS. But some adaptations are called for.

##### 8.4.1.1. Specification of the reporting verb:

In early Chinese prose, normally only one superordinate reporting verb 'yue' is used, which can be rendered in English by 'say' 'ask' 'reply' 'exclaim' etc. Although by Cao's time the number of reporting verbs had increased<sup>11</sup>, there were still many fewer than in English. And the term 'dao' – an equivalent to the earlier 'yue' – still takes on a superordinate function, thus calling for specification in English. In Cao's Chapter Fifteen, forty-one 'dao's<sup>12</sup> are used, which are rendered by (A) into 'put in' 'observe' 'inquire' 'broach' 'speak entreatingly' 'mimick' 'accede'; and by (B) into 'remark' 'answer' 'whisper' 'observe' 'rejoin' 'caution' 'demur' 'explain' 'ask' 'reply' 'plead' 'demand'; and by

(C) into 'explain' 'observe' 'reply' 'expostulate' 'remark' 'ask' 'rejoin' 'exclaim' 'suggest' 'add' 'hint' 'remonstrate' 'retort' 'plead'.

The specification provides stylistic variety. It should be noted that Cao's text is marked by ornate description and a dramatic tendency, against which the constant use of 'say' in English where a large number of reporting verbs is available would appear very monotonous. Further, the specification helps the reader with the decoding process. As distinct from Cao's eighteenth century readers, who had to be content with the superordinate 'dao' (say), the English reader tends to lean more heavily on the reporting verb for information. More specific terms such as 'demand' 'explain' 'expostulate' serve to direct the reader's interpretation, while 'mimick' 'whisper' 'exclaim' etc. provide the reader with paralinguistic qualities of the speech (cf. Page, 1973:26-7)<sup>13</sup>. In addition, the more or less 'diatypicalized' reporting verbs like 'observe' (formal), 'caution' (legal) may in certain contexts point to the social function of the interlocutors and to the nature of the speech. In the present case, the two verbs serve to underline the importance of the prince as well as the weightiness of his remarks<sup>14</sup>.

#### 8.4.12. Repositioning the reporting clause:

In Classical Chinese novels, the reporting clause invariably precedes the reported speech. This, if strictly rendered into English where inversion is commonplace, would result in monotony and, possibly, incongruity. To achieve a functional correspondence, inversion is frequently adopted by Cao's three translators. Now, certain advantages of inversion seem to be worth mentioning here. First, inversion lends itself to the effect of speech cutting into action or speech directly responding to speech, e.g.:

'In that case,' said Xi-feng, 'I'll send for her straight away.'  
'Please do,' said Bao-yu. and started to go.



'Hey, come back,' said Xi-feng. 'I haven't finished with you yet.'  
(from A:vol.2, p.50)

Thus, it is not surprising that such reporting verbs as 'put in,' 'exclaim' are often accompanied by inversion, with the latter intensifying the abruptness or impulsiveness of the speech. Furthermore, by placing the 'comment clause'<sup>15</sup> after the speech (or interrupting it), inversion enables the presentation to attain a higher degree of mimesis. For it is more natural to comment on something when it has occurred than to give a comment before its appearance (unless on a hypothetical entity). Closely related to this is the reduction of the narrator's interference. As the reported speech has already been partially or totally presented, the locutionary clause, now having lost its reporting function (but retaining a commenting role), is made psychologically less prominent. Indeed, but for its frequent occurrence in English, an inverted construction may well take on a janus-like character somewhere in between DS and FDS<sup>16</sup>. Finally, in some contexts where there is more than one potential speaker, the fact that the speech appears before the speaker is identified may momentarily give rise to an element of suspense, which may heighten the reader's interest and add to the vividness of the description. Given these advantages, it is not surprising that inversion has come to be frequently used by many modern Chinese writers (cf. note 6).

#### 8.4.13. Omission of the reporting clause:

In Classical Chinese novels, 'actual words spoken' are always preceded by the verb of saying, thus forming a contrast to the classical<sup>17</sup>, let alone the modern, English fiction where the reporting clause is sometimes omitted. Of Cao's forty-one uses of a reporting verb (in a chapter) mentioned above, twelve are omitted by (A), fifteen by (B) but all preserved by (C).

It is true that the reporting clause may, apart from the functions already

mentioned, fulfil the role of identifying the speaker. But if the speaker can be readily identified from the context and if the reporting clause does not carry extra information such as paralinguistic features, the reporting clause will become semantically redundant:

She turned to Zhou Rui's wife.  
 'Have you told her Ladyship yet?'  
 'No, ma'am. I was waiting for your instructions.'  
 'Go and have a look, then. If she...' (A: 161)

Compare:

Having passed these remarks, she inquired of Mrs.Chou,  
 'Have you let madame know, yes or no?'  
 'We are now waiting' **replied Mrs.Chou**, 'for my lady's orders.'  
 'Go and have a look,' **said Lady Feng**, 'but should there be...'  
 (C:100. my boldface)

Compared with (C), (A) version presents a notable gain in narrative economy, in reduction of the narrator's interference and in smooth narrative flow (without the reporting clause interrupting the speech), also in highlighting the utterance proper (without the reporting clause diverting the reader's attention).

#### 8.4.14. A case study:

To illustrate, attention will now be directed to a specific case:

(Cao) Dai-yu yijian bian chi yi dajing,  
 As soon as Dai-yu saw him she was greatly surprised,

xinzhong xiangdao: 'Haosheng qiguai, daoxiang zai nali  
 she thought: 'How very strange, it is as if I've seen him

jianguode, hedeng yanshu!...' (p.36)  
 somewhere before, he looks so familiar!...'

(A) Dai-yu looked at him with astonishment. How very strange!  
 How very strange! It was as though she had seen him somewhere  
 before, he was so extraordinarily familiar. (p.101)

(B) His appearance took Tai-yu by surprise. 'How very strange!' she thought. 'It's as if I'd seen him somewhere before. He looks so familiar.' (p.46)



(C) As soon as Tai-yu became conscious of his presence, she was quite taken aback. 'How very strange!' she was reflecting in her mind; 'it would seem as if I had seen him somewhere or other, for his face appears extremely familiar to my eyes.'

In Cao, the NR preceding the DT is highly dramatized which is lexically reflected in 'as soon as' and 'greatly surprised'. The embedded thought is also marked by a high emotional key, with the lexical indicators reinforced by the graphological '!'. It is arguable that chronologically the thought is not subsequent to but **simultaneous** with the emotive state 'surprised':

- (1) As soon as Dai-yu saw him she was greatly surprised  
 As soon as Dai-yu saw him she thought: 'How very strange...'

By this is meant that the presentational sequence can actually be altered without impairing the meaning:

- (2) As soon as Dai-yu saw him she thought: 'How very strange...' –  
 she was greatly surprised.

The emotive state and the simultaneous thought echo and intensify each other, with the latter giving shape to the former and the former defining and promoting the emotional key of the latter.

The mutual intensification can be brought into full play only when the thought proper and the emotive state are closely linked together. The reporting clause, if introduced in between the two, will detract to some extent from the mutual intensification. However, as this is the only position available in Cao, the detraction is relatively minor. The case is different with English where inversion is common and where therefore to keep the reporting clause in Cao's position would lead to a greater detraction. Thus, (B) and (C) are to be appreciated for inversion, by which the thought proper is made to appear immediately after the simultaneous emotive state. It is worth noting that the concurrent effect is reinforced in (C) by applying the progressive aspect to

'reflect' which, as a verb of inert cognition is 'normally incompatible with the progressive' (cf. Leech, 1971:19ff.). Clearly, (C)'s deviant use of the progressive makes the mental state ('reflect') stretch back into the emotive state ('taken aback'), further strengthening the mutual intensification. In (A), not only the reporting clause but also the inverted commas are dispensed with, which hastens the appearance of T – iconically as if the narrator has got no time to interfere. The impulsive effect is heightened by the progressive 'how strange, how very strange' and graphologically by the two added '!'s.<sup>18</sup>

My main purpose in presenting this case is to exemplify the three adaptations discussed above: a) specification – (C)'s 'reflect' may be taken as a sort of hyponym of superordinate 'think'; b) inversion, exemplified by (B) and (C); c) omission, which occurs in (A). There is yet another adaptation sometimes necessary in transferring DS(T), which concerns reported speech.

#### 8.4.15. Paragraphing the reported speech

Paragraph division is not seen in Cao, as in classical Chinese prose in general. Although its modern editions are paragraphed<sup>19</sup>, almost no paragraphing takes place within the inverted commas. Now, one's reluctance to paragraph speech is perhaps associated with mimesis. As paragraph division belongs typically to the written convention (cf. Brown & Yule, 1983:10, 95), its introduction into spoken words (though 'recorded' on paper) may lead to artificiality.

It is interesting to observe that in Cao's English contemporary, Fielding's Tom Jones, paragraphing occurs, though only occasionally, in speech. For instance, Mrs. Fitzpatrick's narrative speech is paragraphed (Book II: chapters 4 & 5) and so is Mr. Allworthy's speech:

Allworthy then gently squeezed his hand, and proceeded thus.  
'I am convinced, my child, that you have much goodness,



generosity and honour in your temper; ....

'One thousand pound I have given to you, Mr Thwackum; a sum, I am convinced, which greatly exceeds your desires,...

'A like sum, Mr Square, I have bequeathed to you....

(for the full version, see Penguin edition, p.228)

where the paragraph division indicates the change of addressee<sup>20</sup> and highlights the parallelism between the chunks of speech. It may also be possible that instead of a monologue, what is represented is actually a dialogue, with the intervening responses omitted and with the paragraph division marking the beginning of a new speech act (see note 21). But of course, paragraphing might be attributable to the publisher rather than to the author.

To come back to Cao, in whose translations, long speech is, with varying frequency, paragraphed. The paragraphed speech is either of a narrative or expository nature or just ordinary daily speech:

But Shi-ren 'humph-ed' scornfully:

'Don't talk to me about credit! A while ago we let one of the assistants have several taels' worth of goods on credit for one of his relations, and we haven't seen the money for it yet....

'In any case, we're short of stock on those two items....

'And for another thing: what do you want it for, anyway?...

'And don't you go saying that your Uncle's always on at you when you come to see him! You young people just don't know what's good for you....' (for the full version, see (A):473. A similar treatment in (B):343)

Now, apart from its normal role, i.e. to indicate topic shifts (cf. Brown & Yule, 1983: 95–100), paragraph division in speech seems to take on some additional function. In narrative (esp. third-person) or expository (esp. impersonal) speech, the intermittent inverted commas can serve to remind the reader that it is the character's voice as opposed to the narrator's<sup>22</sup>. Thus paragraph division in speech which is, at least with reference to English, always accompanied by <'> may have the virtue of highlighting a different point of

view, consequently helping the narrator to achieve, in a more striking manner, a measure of detachment. Furthermore, in ordinary daily speech, the intervening <'> which usually indicates the beginning of a speech act may give the reader something of the false impression that a new speech act is occurring (especially so in a context where the reporting clause is frequently omitted). This may help to keep up or stimulate the reader's interest, hence serving as an effective remedy for any boredom that results from 'the tendency to diffuseness inherent in the use of direct speech' (Page, 1973:30)<sup>23</sup>.

#### 8.4.2. From DS to IS (or NRSA)

Having examined the 'direct' transference from DS to DS, we turn to the more oblique transference from DS to IS. It is important to note that Cao's text is written at a time (18th century) when the art of fiction, being far from technical maturity, still leans most heavily on the story-telling and the dramatic tradition (compare Page, 1973:25ff.). Indeed, Cao himself has a strong preference for drama over prose-fiction. He even, as has been observed, 'thought of abandoning the traditional romance-form altogether and writing a verse drama instead' (see Hawkes, 1973: 43). Being conceived very much in oral or dramatic terms, certain of Cao's DS appears somewhat out of place in late nineteenth- (C) and especially twentieth- (A,B) century English where the more developed fictional art tends to integrate such kinds of speech into the narrative.

##### 8.4.2.1. Toning down the speech

If an utterance is reported through an 'uncoloured' indirect form or, in other words, if it is recast in the words of the narrator, it necessarily loses both its communicative (in terms of its original addressor 'I' - addressee 'you' relationship) and expressive functions. Thus, IS contrasts with DS not only in



immediacy but, closely related to it, in forcefulness or impact<sup>24</sup>. Such contrast enables the novelist to control 'the "light and shade" of conversation, the highlighting and backgrounding of speech according to the role and attitude of characters' (Leech & Short, 1981:335). The variation in 'light and shade' can concern either mainly one speaker or both of the interlocutors: compare McDowell's discussion of the change from IS to DS within the same character (accompanying the change from his hesitancy to assertiveness)<sup>25</sup> with Leech and Short's example of the change from a character's DS<sup>26</sup> (which emphasizes the speaker's astonishment) to the interlocutor's FIS (which underlines the speaker's coolness)<sup>27</sup>. Further, it may be noted that the variation may be carried out either in a small chunk of text or on a larger scale: compare the instance of contrast between the DS of Sir Walter, a man totally sure of himself and the IS of Mr Shepherd who plays the role of deferential functionary in Jane Austin's Persuasion<sup>28</sup> with the larger scale strategic contrast between IS (FIS) and DS in the chapter 'A Disappointment' in Dickens' A Tale of Two Cities where, as Gregory (1965) notices, the speech of those characters who are hostile to the central characters and who are principally instruments in the plot is presented in the indirect form, while the fair or sympathetic witnesses are accorded DS and are, 'as it were, allowed to speak for themselves'<sup>29</sup>.

At this point it may be worth noting that some reporting expressions like 'shout,' 'call out,' or 'say loudly' seem to be more naturally associated with DS than IS. As the novelist's practice indicates, DS, with its 'invitations to an auditory experience' (Gregory, 1967:193) seems to lend itself to the strong acoustic impact which is liable to be toned down by the intervening narrator's indirect and impersonal voice<sup>30</sup>.

The fact that the direct form is found emphasizing the speech and is hence more suitable for conveying such qualities as astonishment or dominance while the indirect form appears to tone down the speech and is therefore more

effective in reflecting such qualities as submissiveness or coolness is of great importance to the translator. What are to be taken into account by the translator are clearly not only immediacy, vividness or stylistic variety but also the association between the author's choice of modes and the role, attitude of the characters, or equally significantly, the author's attitude towards the characters.

In Cao, a text dominated by DS, little effort is made to control the 'light and shade' of conversation. What interest us here therefore, and not surprisingly, are the translators' adaptations: in specific terms, the toning down or backgrounding of speech by way of left shifting the mode from DS to IS or NRSA<sup>31</sup>. Perhaps the adaptations which are only local will be found slightly trivial. They may, nevertheless, from the particular angle of translation, throw some light on the contrastive force between DS and IS in terms of highlighting or backgrounding speech.

To start with a single speech act:

(Cao) Feng Jie lian zhengyan ye bukan,      reng wang qian zou,  
Xi-feng even did not turn her head to look at him, continued

zhi wen ta muqin hao: 'Zenme bu lai zheli guangguang?'  
to walk on, merely asked after his mother: 'Why doesn't she come for  
a visit?' (p.280. For what precedes, see note 32.)

(A) Xi-feng continued to walk on and, without actually looking at  
him or turning her head, inquired after his mother's health and  
asked why she never came to visit. (p.477)

(B) Hsi-feng hardly glanced at him, however, merely asking as she  
walked on how his mother was and why she never called. (p.347)

Xi-feng, the addresser is a snobbish master who looks down upon the  
addressee, a poor distant relative. Xi-feng's inquiry is marked by obvious  
indifference and one can hardly miss the insincerity that underlies the question  
by way of invitation 'Why doesn't she come for a visit?' In (A) and especially in



(B)<sup>33</sup> the pretended 'invitation' is toned down into insignificance by means of left shifting the mode from DS to IS, a mode that apparently suppresses the communicative function as well as the expressive interrogative force of the original speech act. Set against Cao's DS, the distanced IS presents a notable gain in bringing out the indifferent tone which in turn underlines the speaker's snobbishness.

A similar case occurs as follows, but this time a dialogue is in question:

(Cao) Liu Laolao zhide ceng shang lai wen: 'Taiyemen nafu.'  
Grannie Liu (could only) edge forward and said: 'Greetings,

Zhongren daliangle yihui, bian wen: 'Shi nali laide?'  
gentlemen.' The men looked her up and down, then asked: 'Where

have you come from?' (p.70. For what precedes, see note 34)

(A) Grannie Liu waddled up to them and offered a respectful  
salutation. After looking her up and down for a moment or  
two, they asked her her business. (p.154)

(B) Granny Liu edged forward and said, 'Greetings, gentlemen.'  
The men surveyed her from head to foot before condescending  
to ask where she had come from. (p.91)

The author's sympathy is on the side of Grannie Liu, a country woman who is coldly treated by the snobbish servants. The servants' snobbishness is best caught by (A) in the form of NRSA 'they asked her her business' which does seem to carry a stronger cold undertone than Cao's DS. In (B), Granny Liu's speech is, as in Cao, accorded the direct form, the servants' speech is however reported through the narrator's indirect and impersonal voice. Thus the latter is notably distanced and backgrounded in contrast with the former. The effect is again one of toning down the speech so as to reflect the coldness and snobbishness of the speaker(s).

Now, to highlight one SA and background the other is a technique that can be used to good effect in the presentation of one speaker's two consecutive S/T acts. This point will readily emerge by comparing (Cao) with (A) and (B):

(Cao) Dai-yu bian cunduoze: 'Yin ta you yu, suoyi cai wen wode.'  
 Dai-yu speculated: 'Because he has a jade himself, he asks me

Bian dadao: 'Wo meiyou yu.  
 whether I have one or not.' She answered: 'I don't have a jade.

Ni nayu ye shi jian xihan wuer, qi neng renren jie you?'  
 Your jade is a rare object, how can everybody have one?' (p.38)

(A) ...Dai-yu at once divined that he was asking her if she too  
 had a jade like the one he was born with.

'No,' said Dai-yu. 'That jade of yours is a very rare object.  
 You can't expect everybody to have one.' (p.104)

(B) Imagining that he had his own jade in mind, she answered, 'No,  
 I haven't. I suppose it's too rare for everybody to have.' (p.49)

In Cao, the thought and the speech, both appearing in the direct form, are given equal prominence and equal auditory impact. In (A) and (B), however, the thought act (TA) is backgrounded by means of the indirect mode, which suppresses the 'communicative' verbal articulation of the TA and which enables the speech act (SA) to take on, by contrast, greater immediacy and auditory impact. This treatment is surely more in line with the nature of the T and S acts involved. The TA, a quiet speculation in Dai-yu's mind, does in a sense form a 'background' (see A & B) of the words said aloud which, containing a negative and a rhetorical question, call for strong emphasis. Indeed, against the indiscriminate treatment of Cao (which not only gives the TA 'undue' auditory impact but also detracts, due to the lack of contrast, from the prominence of the SA), the choice of the contrastive modes made by (A) and (B) can be fully appreciated.<sup>35</sup>

It is of interest to note that the contrast between the direct and the indirect form is sometimes resorted to by the translators to vary the distance of a single speech act. In more explicit terms, the translators may choose to background (to render into IS) the beginning of Cao's DS so as to foreground the rest of the DS (for exemplification, see note 36).

In this section we have seen that the novelist, in sharp contrast to the



dramatist, can freely vary the distance of speech acts by means of different degrees of authorial intervention. Freedom does not, though, necessarily mean naturalness. Although there is no rule as such that the author has to abide by, sometimes the abrupt switch from one presentational mode to another (from telling to showing or vice versa) does seem to involve inappropriateness, for example:

(Cao) (Xue yima zheng yu tong ju yichu,                      fang ke  
(Aunt Xue just wanted to stay together, so that some check

jujinxieer,                      ruo ling zai waibian,  
could be kept on her son, if they were to live outside, his unbridled

you kong zongxing rehuo,)                      sui man yingyun;  
nature might court fresh troubles,) so she accepted the invitation

                    you si yu Wang furen shuo ming: 'Yiying rifei gongji,  
with alacrity; and privately made it clear to Lady Wang: 'All daily

yigai doumian,                      fang shi chuchangzhi fa.'  
expenses, are not to be provided (by you), that is the only way to

make a long stay.' (p.50)

(A) (...) She therefore accepted the invitation with alacrity,  
privately adding the proviso that she could only contemplate  
a long stay if it was on the understanding that they were  
themselves to be responsible for all their expenses. (p.122)

(B) (...) She promptly accepted with thanks and in private intimated  
to Lady Wang that, if she was to make a long stay, she must be  
allowed to defray all her household's daily expenses. (p.64)

Cao's DS is preceded by NRSA and followed by IT to NRSA (see note 37), both presented in a fairly formal narrative style. Against this 'remote' environment marked by strong authorial interpretative control, the DS takes on foregrounded auditory immediacy, an effect that seems somehow in conflict with the nature of the utterance which is meant to be heard 'privately'. The need for privacy and, more importantly, the lack of a properly dramatized context make the DS seem a bit out of place. It is, in other words, somewhat unwise for the narrator to abandon his interference (which can, by toning down the speech,

help to convey 'privacy') and to suddenly take up the role of a dramatist.

So it seems far from fortuitous that Cao's DS is rendered by all three translations into IS (for (C) see note 38). The gain is not only a smooth narrative flow, but also harmony between the fictional situation and the mode of presentation.

#### 8.4.22. A matter of the speaker's obscurity

The shift from DS to IS examined above has to do either with the role or attitude of the speaker or with the nature of the speech act. On the other hand, the kind of shift that we shall look into in this section is concerned with the speaker's psychological obscurity for the reader.

In the fictional world built up solely by linguistic means, there is no shared context available between the narrator and the reader, the latter depending on the former as the sole source of information. In the decoding process, 'the reader constructs (imagines)', as Ohmann puts it, 'a speaker and a set of circumstances to accompany the quasi-speech-act' (from Pratt, 1977:153; cf. also Brown & Yule, 1983:236ff.), so that a reader differs from a member of a theatrical audience within sight of the actual speaker.

If in the theatre the actor's physical presence always makes it natural for him to 'speak for himself' (which is in fact the only mode available so far as the primary speech situation is concerned), in the fictional world, where the symbol 'someone' is quite different from the someone perceivable on the stage, the psychological obscurity of an imagined speaker may be found to conflict with the auditory immediacy of DS (see Cao in the case below). Reconciliation can however be sought in the shape of IS or NRSA, a mode that enables the visual (mentally) or psychological distance between the reader and the character to be paralleled by the auditory distance, as shown by the following translations:



(Cao) (Dong ri tien duan, jue de you shi chi wanfan shihou,  
(In winter the days are short, it soon seemed dinner time,

yiqi wang qiantou lai chi wanfan.) Yin you ren hui  
and they all went to the mansion for a meal.) Then there was someone

Wang furen shuo: 'Xi-rende gege Hua Zi-fang, zai waitou  
who reported to Lady Wang: 'Xi-ren's elder brother Hua Zi-fang is

hui jinlai shuo, ta muqin bingle  
outside and has sent in word that his mother was seriously ill and

xiang ta nuer. Ta lai qiu endian, jie Xi-ren jia qu zouzou.'  
was missing her daughter. He had come to beg for the favour of

taking her home for a visit.' (p.635)

(A) (...) While they were there, a message arrived for Lady Wang  
to say that Aroma's brother, Hua Zi-fang, had come and was waiting  
outside in the front.

'His mother is seriously ill and has been asking to see Aroma,'  
said the messenger. 'He asks if, as a special kindness, you will  
allow her to go home and see her.' (p.515)

(B) (...) Then a maid reported to Lady Wang that Hsi-jen's brother  
Hua Chih-fang had brought word that their mother was ill and  
wanted to see her daughter. He had come to beg permission to take  
her home. (II:162)

(for (C), see note 39)

The abruptness involved in (Cao)'s use of DS is largely attributable to the  
insufficiency of the verbal context in relation to the speaker. Note the  
difference that would obtain if more information were brought in:

Then a servant came in, went up to Lady Wang and said: 'Xi-ren's...'

Obviously, the kind of information that serves to prepare the reader for the  
speaker's direct utterance will be seen by an audience in a theatre. To get rid  
of the abruptness of the actual words spoken, all three translators resort to the  
narrator's reporting voice, one that enables the speech proper, now distanced  
from the reader, to match the speaker's obscurity: 'Then there was someone  
who reported to Lady Wang that Xi-ren's elder brother was outside...' (but of  
course the speaker is well in sight and the speech well in hearing of the

intermediary narrator). In (A), not only is the speech reported indirectly by the narrator, the speaker is also abstracted and impersonalized into the form of 'a message' (see a similar treatment in note 41 (ii): A & C). But after the initial reporting, the narrator allows the character to 'speak for himself'. Notably, this time, the use of DS is free from abruptness, for the reader is by now sufficiently acquainted, though only in an oblique way, with the voice and the presence of 'the messenger', rendering as a result the narrator's intermediary role unnecessary<sup>40</sup>. In (B) and (C), apart from the shift from DS to IS, the obscure 'someone' is specified either as 'a maid' or 'the servants', thereby making it possible for the reader to conjure up a more definite mental image. (for further exemplification, see note 41).

It is not however up to the translator to make adaptations if the obscurity of the speaker is employed as a means of achieving positive literary effects. Such intentional obscurity is found occurring quite a few times in Cao. In Chapter Three, for instance, the narrator, by adopting a limited internal focalization, momentarily keeps a speaker (the protagonist Xi-feng) unidentified, to create thereby an element of suspense, consequently making the speaker's first appearance all the more striking, an effect to which the immediacy or impact of the direct mode lends itself (see note 42). In such cases, it would surely be regrettable if the translator took it upon himself to spell out the speaker or to render the DS through the distanced IS.

Now I would like to mention a relative obscurity of the speaker which concerns anonymous servants but who are, in this case, at least spelt out as definitely as 'a servant,' 'a maid,' or 'the pages'. Although the relative obscurity may not really necessitate the shift from DS to IS, it does seem to incline one to do so, as borne out by Cao's translations where the anonymous servants' DS is frequently translated into IS or NRSA<sup>43</sup>. This may be accounted for by the following considerations, some of which will be found applicable to some





Qin Zhong in such a way, that even your master Bao-yu has come in for

bu gei ta ge zhidao, xiaci yuefa kuangzong.  
a share, if (we/you) don't take him down a peg, next time he is going

Zhe Ming-yan wu gu jiuyao qiya rende... (p.113)  
to be quite insufferable.' This Ming-yan never needed any encouragement  
to pick a fight... (tr. based on (A). For what follows, see (A))

(A) ... he pretended that he wanted to be excused, and slipping round to the back, quietly called over Bao-yu's little page Tealeaf and whispered a few inflammatory words in his ear.

Tealeaf was the most willing but also the youngest and least sensible of Bao-yu's pages. Jia Qiang told him how Jokey Jin had been bullying Qin Zhong. 'And even Bao-yu came in for a share,' he said. 'If we don't take this Jin fellow down a peg, next time he is going to be quite insufferable.'

Tealeaf never needed any encouragement to pick a fight, and now, inflamed by Jia Qiang's message and open incitement to action, he marched straight into the classroom to look for Jokey Jin. (p.211)

(C) ... and in one way and another, he made use of several remarks to egg him on.

This Ming Yen was the smartest of Pao-yu's attendants, but he was also young in years and lacked experience, so that he lent a patient ear to what Chia Se had to say about the way Chin Jung had insulted Ch'in Chung. 'Even your own master, Pao-yu,' (Chia Se added), 'is involved, and if you don't let him know a bit of your mind, he will next time be still more arrogant.' This Ming Yen was always ready,... (p.144)

In Cao the NRSA ('made a few inflammatory remarks') and the DS share the same referent, i.e. reporting twice a single SA, a device that goes well beyond the capacity of a dramatist. Semantically the NRSA is kept general, which is in no way specified by the seemingly substantiating adjunct 'in such and such a way'. A notable effect that results from this is suspense which, though, is only to be dissipated in the actual words spoken<sup>47</sup>.

Two things need to be noted here: one is that Cao's presentational sequence seems marked by deviation. Compare Cao with the more normal sequence – first showing the scene, then referring to it in more general terms:

...quietly called over Bao-yu's page Ming-yan and said to him:  
'Jin Rong insults Qin Zhong in such a way that even your...'

Ming-yan was Bao-yu's most serviceable page, but he was very



young and inexperienced. Now he (had) heard these inflammatory remarks...

Such reordering apparently involves the loss of the rhetorical build-up of suspense. The second point to note is that given the deviant presentational sequence, the use of DS is only minimally expected in the specification. Since the speech act has already been presented (NRSA), what is offered here, following the authorial narrator's commentary, forms the narrator's exposition which seems much more in line with the indirect mode ('now he (had) heard Jia Qiang say that...').

Now, through the peculiar use of DS, there is created a pseudo-dramatic situation which, in addition to bringing into full play a distinctive speaking voice, makes it possible for the narrator's exposition to combine with the immediacy and vividness of the actual happening. Moreover, owing to the pseudo-dramatic situation that appears amidst the narrator's commentary, the distance between the actual speech event and the resulting action is made to appear shortened (see note 48), which contributes to the dramatic effect of Jia's words immediately plunging Ming-yan into action. It is important to note that the pseudo-dramatization is closely associated with the Chinese story-tellers' general inclination to build up suspense and to imitate the character's speech. Natural as it appears in Cao, it seems not to be a device used in English.

In translation, one possible way out is to turn the pseudo-dramatic situation into a 'true' scene. This is manifested in (C) where the 're-presentation' of the SA ('now he (had) heard Jia Qiang say:"..." which is co-referential with, though not retrievable from, the preceding NRSA) is partially embedded in the form of NRSA into a piece of new information ('so that he lent a **patient ear** to what Chia Se had to say about...(NRSA)'). By bringing in the new information, (C) changes the mode from the narrator's exposition of what has already been

presented into a pure description of the scene whereby a 'true' dramatic situation is established. Interestingly, this second NRSA, though derived from no more than the beginning of Cao's DS, is, for its potential coverage of more than one remark, made to fulfil the co-referential function of the whole, thus enabling the rest of Cao's DS to be separated in (C) from 'several remarks' and to appear as new information, with the newness explicitly signalled by the reporting verb 'added'. The reader is thus, instead of Cao's expository 're-presentation' of the same SA, given a continuation of the scene. A similar treatment is found in version (A)<sup>49</sup>. Both versions put across well, with naturalness, the stylistic features of suspense, immediacy and vividness mainly by means of shifting the beginning of Cao's DS to the more general NRSA. It may also be noted that, along with the change from the 're-presentation' to a continuation of the scene, the dramatic effect of words immediately leading to action seems perceptibly heightened.

#### 8.5. THE TRANSFERENCE OF BLEND

The ending of the discussion of DS naturally brings us to the discussion of **Blend**. For in Chinese S/T presentation, if quotation marks are absent, one is most likely to find these two-ways or three-ways ambiguous modes. Now to limit the Chinese blend immediately to the scope of S/T is to bypass a fundamental issue, i.e. the difference between S/T and other elements of the novel. More specifically, the question is: what justification does one have for treating, under normal circumstances, the 'tenseless' straightforward narration etc. (including the reporting verb) as being in the past tense rather than as a blend of past tense and historical or fictional present, while regarding the 'tenseless' S/T, where applicable, as a blend of past and present tense? The answer seems to lie in the difference between the nature of words heard (or seen) and events perceived. Broadly speaking, the former possesses what I



would call 'retrospective reproducibility', which the latter does not share. Words heard in the past, that is to say, can be reported 'unaltered' from a retrospective point of view, but things perceived in the past cannot be reported, if sticking to the same retrospective point of view, without undergoing the back-shift in tense. For in the former case, the whole process can be viewed as one from words to words:

words → hearer/reporter → words

Since the 'input' and 'output' consist of the same linguistic means, to give an **objective** representation is simply to repeat the same words no matter what point of view is taken. The case is different with things perceived in that the reporter has to translate them into words:

things → perceiver/reporter → words  
(translate things  
into words )

here in the intermediate 'verbal transcription of *non-verbal* events' (Rimmon-Kenan, 1983:108), the back-shift in tense has to be carried out to conform to the retrospective point of view. Bearing this in mind, it is only natural to find such a sentence as:

In a few minutes, Mrs.Bennet half opened the door and called out, 'Lizzy, my dear, I want to speak with you.' (Jane Austen Pride and Prejudice)

Despite the difference in tense between the reported acts (past) and the reproduced speech (present), both are presented from the same retrospective point of view. It is clear that though producing the same effect of 'immediacy', the present tense in (F)DS differs by its very nature from the historical or fictional use of the present, the former being a norm of objective report, the latter 'a deviation from normal practice' (Leech, 1971:12).

Following on from this, the limitation of the Chinese blend to S/T can be easily justified. Since the fictional use of the present entails the abandonment of the retrospective point of view normally presupposed by any narrative, then unless there are positive features to indicate such abandonment, this deviant use of the present can be left aside. It is therefore natural that, in translating the Chinese 'tenseless' straightforward narration, authorial comment etc., the tense is normally specified in English as the past. Within the scope of S/T, however, the retrospective point of view does not directly affect the choice of tense, which is determined instead by the narrator's wish to give either an objective repetition or a version edited according to his own voice, both belonging to the norm of presentation. So in Chinese, if a piece of S/T is integrated into the narrative but free from positive features of the narrator's interference (i.e. can be quoted), it is subjected to two interpretations: words actually spoken or expressed through the narrator, with the tense to be specified either as the present (where applicable) or as the past (see note 50).

The difference between S/T and other elements of the novel puts the translator in a dilemma. To preserve the immediacy of S/T by translating a blend into the present tense is to raise it immediately out of the narrative plane which is normally translated into the past tense. To keep a blend on the narrative plane by using the past tense means on the other hand the loss of vividness and immediacy. Things are sometimes made more awkward as the omitted subjects or objects have to be spelled out in English either as the first/second person (hence away from the narrator's voice) or the third-person (possibly away from the character's voice). That is to say, while both voices are potentially contained in the original by virtue of being indistinguishable in terms of formal linguistic criteria, one voice has to be favoured in English at the expense of the other.



### 8.5.1. FIS(T)/FDS(T)

This kind of blend is more frequently found in thought presentation. In translation, one of the potentially contained modes, FIS, is constantly given priority over the other – FDS. For instance, in Mao Dun's short story 'The Shop of the Lin Family', fourteen cases of FIS/FDS are found<sup>51</sup>, which are translated by Shapiro (1956) invariably into FIS.

This preference may be accounted for in part by the virtues of FIS, a mode that 'offers the novelist the opportunity to combine some of the separate advantages of both the direct and the indirect form' (Page, 1973:36); and in part by the consequences of raising S/T out of the narrative plane, an act that, apart from breaking the narrative flow, may, by clearly marking off the character's voice from that of the narrator's, involve the loss of subtlety:

(Mao): Lin xiansheng xinli yi tiao, zanshi huida bu chulai.

Mr Lin's heart gave a leap, for the moment he couldn't answer.

Suiran shi qiba nian de lao huoji,

Although Shousheng **has/had** been **my/his** salesman for seven or eight years

yixiang meiyou chuguo chazi, dan shui neng bao daode ne!

and **has/had** never made a slip, still, there **is/was** no absolute guarantee!

Both modes, FIT and FDT, can be derived with equal probability from the original. The choice facing the translator is clearly one between subtlety (FIT) and immediacy (FDT). In the former case, the absence of manifest features of thought presentation<sup>52</sup> enables the author to slip inconspicuously from narrative statement to interior portrayal, while in the latter case the reader is given direct access to the character's consciousness. By the latter is meant the narrator's complete detachment from the character's thought, which may not be desirable in this particular context where the narrator deeply empathizes with the character. In Shapiro's FIT, through remote-shift in person and back-shift in tense, the distance between the narrator and the character is,

compared with the FDT, perceptibly shortened. 'The tinting of the narrator's speech with the character's language' also promotes 'an empathetic identification on the part of the reader' (Rimmon-Kenan, 1983:114). The effect which results from this is, notably, the heightening of suspense. For here the worried party is not only the character (the self-centred 'my') but also the interpreting narrator and, probably, the reader.

Although FIS as a mode in itself presents some advantages, in certain contexts, FDS seems to be a more suitable choice. This is especially so when the S/T, typically containing exclamations or rhetorical questions, is highly emotively charged and when, moreover, the pronoun or deictic selection is appropriate to either FDS or FIS (where therefore the immediacy of FDS can be gained with a much less cumbersome 'gear-shifting'). Under such circumstances, whichever mode is chosen, the impulsive voice of the character is marked off from that of the narrator, so there is none of that subtlety which comes from the merging of the two voices involved, while on the other hand the immediacy of FDS is particularly desirable, as in the following:

Mao: Dan dang lao Tong Bao qiaoqiaode ba nage 'mingyun'de da suantou  
But when Old Tong Bao secretly took another look at his 'luck'

na qilai kan shi, tade lianse like bianle! Da suantou shang hai  
garlic, he immediately turned pale! It had grown only three or

zhi de sansi jing nanya! Tian na! Nandao you tong qunian  
four tender shoots! Heavens! Will/Would this year be like

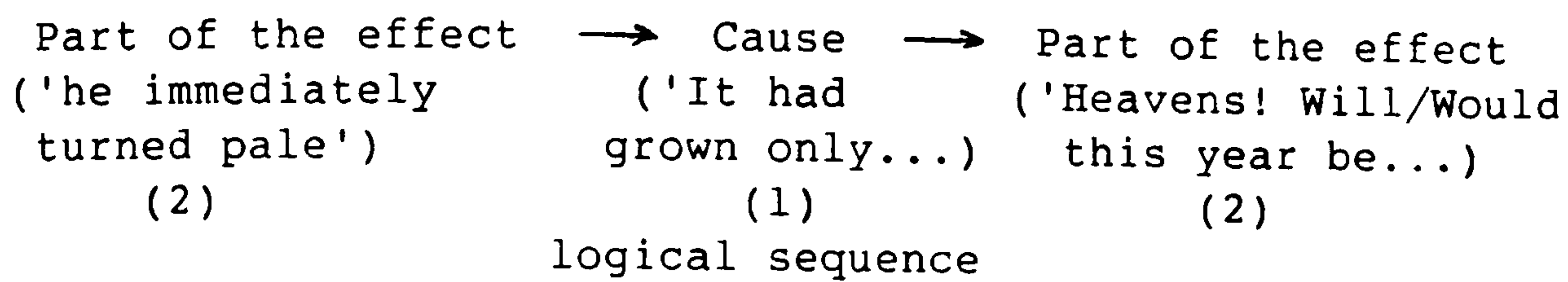
yi yang? ('Spring Silkworms')  
last year all over again? (underline indicates its being  
rhetorical and emphatic)

Shapiro: But when the old man secretly took another look at his  
garlic, he turned pale! It had grown only four measly shoots!  
Ah! Would this year be like last year all over again?

Mao's passage strikes one as being highly dramatized. Apart from the outward tokens of emotive involvement ('!'s, 'heavens' etc.), the dramatic impact is



ascribable to the order in which information is presented. More specifically, the cause ('It had grown...') is held back and given after part of the effect:



What results from this presentational sequencing is on the one hand suspense and, on the other hand, the simultaneity of the effects: the blend FDS(T)/FIS(T) appears to be uttered at the same time as the face turns pale, which hastens (psychologically) the appearance of the already impulsive blend. The narrator is, at this moment, a highly involved witness, who seems little prepared to interfere and who thus lets the character's words burst out, interrupting the flow of narrative. This is only another way of saying that, in this 'immediate' context, the mode of FDS(T), where the switch to the present tense may not appear unnatural, seems to form a more suitable choice (for further exemplification, see note 53).

#### 8.5.2. IS/FDS

This type of blend differentiates itself from the type above only in terms of the presence of the reporting clause that makes the speech, still taking on the immediacy peculiar to DS, more fully integrated into the narrative. It is seen to fall into two sub-types:

- (i) ... you shuo lao Tong Bao jia zongsuan xingqi ...  
... and said (that) Old Tong Bao's family is/was after all lucky

(Mao Dun 'Spring Silkworms')

The second type is one where the reported clause is separated from the verb of saying by a comma or colon:

(ii) Zhanggui shuo, yangzi tai sha...  
(tavern-keeper-say, appearance-too-foolish)

- a) The tavern keeper said that I looked too foolish...
- b) The tavern keeper said, you look (the boy looks) too foolish...

(Lu Xun’s ‘Kong Yiji’: first-person narration)

with the gap (‘,’ or possibly ‘:’) in between, the reported speech strikes the reader all the more sharply as being words actually spoken, but there is still no positive feature to rule out the narrator’s reporting voice. In both types, the choice facing the translator is, generally speaking, one between smooth narrative flow, possibly economy (IS) and immediacy, vividness (FDS).

In Lu Xun’s ‘The True Story of Ah Q’, there are twenty-three instances of IS/FDS, which are dealt with in different ways by its two translations<sup>54</sup>:

	IS	FIS	DS
Version (A):	14	2	7
Version (B):	18	4	1

a. Absence of FDS:

What strikes one here is the absence of FDS, one of the two modes potentially contained in the original. Clearly this is not because the translator always finds the alternative IS more satisfactory; but rather, if he finds IS unsatisfactory, he would choose DS or FIS in place of FDS. Such treatment in effect commonly occurs in translations, such as Cao’s (A) & (C). This may be accounted for in part by the fact that the blend IS/FDS forms a norm of presentation in Chinese while the type of FDS in question, which differs from DS only in terms of the omission of inverted commas, seems to be of much rarer occurrence in English. Thus in terms of norm for norm, it is not surprising that the translator prefers the more normal DS or FIS. Equally important is the fact that in the interest of smooth narrative flow, the translator usually will not choose a direct form unless immediacy and vividness are seen



to deserve priority. And if such priority arises, the mode of DS, with its inverted commas as invitations to an auditory experience (see 8.4.21), certainly offers more emphasis and impact than the type of FDS concerned.

b. Reduction of the narrator's interference:

Although IS is frequently used by both versions, (A) differs from (B) in that if there is more than one reported clause, (A) tends to omit the subordinator 'that' (esp. after the first clause), thus letting the mode slip from IS into FIS.

Compare for instance:

(A) All who heard of this said Ah Q was a great fool to ask for a beating like that. Even if his surname *were* Chao – which wasn't likely – he should have known better than to boast like that when there was a Mr. Chao living in the village. (p.79)

(B) All those who heard about this incident agreed that Ah Q had invited the thrashing by his own impudence, that his surname was probably not Chao, and that even if it had been, he should not have been so presumptuous as to talk the way he did. (p.79)

By virtue of the omission and the slipping in question, (A) notably reduces the narrator's interference, thereby enabling the speech to gain briskness and vividness (which is of course also attributable to the colloquial lexical forms). (A)'s treatment is, in effect, more in line with the original mode which starts in IS/FDS and then slips, due to the fact that in Chinese there is no subordinator to indicate parallel subordination, into a blend of FIS/FDS – a mode that carries even less potential interference from the narrator. It should be noted that the omission of 'that' points to a larger issue in dealing with blend, namely, when an indirect form is chosen, how to keep the narrator's interference to the minimum. This is necessitated by the fact that in all three kinds of blend (8.3.3.), as far as the reported speech is concerned, the narrator's interference is only of a **potential** existence (no 'that', no visible back-shift in tense or remote-shift in person) which normally in no way affects the vividness and

immediacy typical of DS. Thus if the translation can take on the virtues of the indirect as well as, to some extent, the direct form, it can offer a better representation of the peculiar mode in the original<sup>55</sup>.

### 8.5.3. NR/FIS/FDS





2 where Cao's FIT ('how to get...') is rendered through the mode of narratorial statement ('looking for some passer-by...'). Put another way, Cao's metaphenomenon of a cognition process is changed into a perception process whose phenomenon presents an external entity. The reader is consequently taken out of the direct experience of the character's thought and is shown instead the state of the character's mind. This change somehow limits 3 and 4 to the single mode of NR (as opposed to Cao's blend), a mode confirmed by the fairly formal style ('omnipresent', 'on this occasion'). It is worth noting that the single mode of NR offers a good chance to heighten suspense. In contrast to Cao where the narrator's limitation is, after all, an alternative possibility, (A)'s narrator is obviously adopting limited internal focalization, i.e. he is, like the character, clearly not in the know. However, this opportunity is not fully exploited by (A) where the emphatic 'it so happened that' is omitted, making the narrator appear less involved. (A)'s narrator, that is to say, takes on internal/focalizer's perspective but keeps a degree of external/focalizer's neutrality, which results in the reduction of the otherwise highly dramatized effect of suspense (compare (B) in note 57).

In terms of suspense, (C)'s choice of IT in rendering 4 seems quite unwise. The shared restricted perspective (Cao, A & B) is ascribed by (C) explicitly to the character alone ('he was quite at a loss to know where...'). This leads one to infer that the narrator's focalization is still external, i.e. the narrator is in the know. Such an inference may condition one's interpretation of the preceding clause thereby failing to destroy the reader's conventional security in both places. Clearly what matters most in this case is not an access to the character's consciousness but the dramatic effect of suspense; and it is the empathetic narrator's voice that deserves emphasis. Indeed, as the cases discussed above also show, in translating a blend, priority, i.e. what to exploit, is largely determined by context; to some extent, by stylistic values as such



that go beyond a simple dichotomy between smoothness and immediacy.

## 8.6. THE FUNCTIONS OF FIS AND THE NEED FOR ITS PRESERVATION

The purpose of this section is to emphasize, by way of shedding some light on the losses that a change from FIS into another mode might involve, the necessity of preserving, under certain circumstances, the mode of FIS in fictional translation. FIS is a semidirect mode, grammatically and mimetically intermediate between IS and DS<sup>58</sup>. In particular novels, FIS can take on various thematic functions, 'contributing or being analogous to the governing thematic principle(s) of the work under consideration' (Rimmon-Kenan, 1983:113; see also McHale, 1978:274). This section, however, is not concerned with what McHale calls 'second-order' functions, which are peculiar to specific texts<sup>59</sup>, but with the more general 'first-order' ones.

### 8.6.1. Common Function or Peculiar Function

It is essential to set the functions that are peculiar to FIS apart from the functions that are common to all modes of speech. Only in this way can the discussion be of true pragmatic value to the translator in his choice between modes of presentation. Of the five functions of FIS or FID (free indirect discourse) presented by Rimmon-Kenan (1981:113-4), the first one seems to be shared, in a sense, by all modes of speech:

The FID hypothesis (even if not thought of in these terms) is often necessary in order to identify speakers and assign given speech-features or attitudes to them. This enables the reader to make sense of 'deviant' linguistic practices, unacceptable attitudes, or even lies, without undermining the credibility of the work or of the implied author (Ron 1981, pp28-9)

Ron, in the pages referred to by Rimmon-Kenan, is actually concerned with a general discussion of 'the Mimetic Cooperation Principle'; or more relevantly,

with 'a discussion of apparent violations of one particular maxim in MLG'. His plain conclusion that 'the author of a mimetic fiction may not lie to the reader directly (within the boundaries of the fictional world), but may use the lying of his characters to mislead the reader temporarily' is relevant to 'mendacious character statements' in general (cf. Van Dijk, 1976:52) which can be in FIS and equally probably, FDS (also without a reporting clause), IS, DS etc..

By this is meant that as regards the capacity for violating 'the CP without violating the MCP' (Ron, 1981), FIS is by no means unique. Nevertheless, what seems to be implied by Rimmon-Kenan (signaled by 'hypothesis' and 'identify') is the fact that FIS, with its possible 'grammatical disguise of a narrated fact' (Hernadi, 1972:194), enables the violation of the CP (vs. the MCP) to be carried out in a more subtle manner than other modes of speech. In the extreme case, a character's false words presented in FIS may be entirely mistaken as authorial statement until later on, by virtue of the 'FID hypothesis', being re-attributed to the character (see Banfield, 1982:218-9). And the reader, having been misled so far by the seemingly authorial statement, gains no grounds for doubting the reliability of the implied author<sup>60</sup>.

It should be noted that the character's 'false' statements are not necessarily lies. In many cases, the 'falsehood' – false in the sense of being at variance with the fictional reality – is to be accounted for by the **limitation** rather than dishonesty of the character. In such a case, apparently no violation of the CP is involved but a violation of the MCP would occur if the 'false' statements were attributable to the omniscient author.

From what has been discussed above, the following conclusions can be drawn:

In translating a fiction:

- 1) In order to avoid affecting the reliability of the implied author, it is best not to raise the character's intentionally or unintentionally false statements (FIS, DS etc.) to the narrative plane (see the



discussion on the narrator's commitment in 8.7-8).

- 2) Given that 'the view of a character, when presented in FIS, has only a qualified validity in respect to truth, wins from the reader only a qualified assent' (Pascal, 1977:50), then, in order not to 'overly' mislead the reader, it is better to preserve the linguistic features (if any) that signal FIS as opposed to seemingly authorial statement.
- 3) If the grammatical disguise of a narrated fact that FIS takes on is used as a means of strategically or dramatically misleading the reader, it is advisable not to remove the disguise by adding S/T features or changing the mode into the unequivocal IS, DS etc...

### 8.6.2. Irony

It has been pointed out by most critics that FIS is a vehicle for irony; yet, as a mode in itself, FIS cannot automatically produce irony. Irony arises only when the content or possibly the context of the S/T contains some element of absurdity or incongruity. But to attribute the ironic effect solely to the content or context is to deny unwarrantably the potentially greater usefulness of FIS in conveying irony and to put it on a par, in this respect, with other modes of speech. This is not my intention. My concern is, instead, the question: how and why FIS is more effective than other modes in terms of conveying or reinforcing the ironic effect?

The first point to be noted is that the **identity** in grammatical form between FIS and authorial statement may serve to highlight the **discrepancy** in opinion between the author and the character, for example:

(i) He said/thought, 'I'll become the greatest man in the world.'

(ii) He would become the greatest man in the world.

If accorded by the author to a common character, the S/T – both (i) and (ii) – will generate irony. But the ironic effect in (ii) is at once more subtle and striking. For on the one hand the 'substitution' of the authorial narrator's voice for the character's (Hernadi, 1972:191) makes the irony more implicit while, on the other hand, something of the impression that the narrator is saying

(mimicking the sense of) what he apparently takes to be false adds to the S/T a ring of mockery and makes the irony all the more penetrating. As Cohn puts it, casting 'the language of subjective mind into the grammar of objective narration' can 'throw into ironic relief all false notes struck by a figural mind' (1978:117).

Closely related to the point above is the fact that the remote-shift in person and back-shift in tense in FIS helps to put an ironic distance between the reader and the words of the character<sup>61</sup>. In the example above, the first-person pronoun in (i) may promote, where applicable, a measure of sympathetic identification through acting at the subconscious level on one's tendency towards, say, self-glorification or narcissism. In (ii), by contrast, the remote-shift in person coupled with the back-shift in tense generates a distancing effect, allowing the reader room to sense the absurdity of the speech and to feel or share the authorial narrator's implicit comment of irony or mockery<sup>62</sup>. Furthermore, 'the double-edged effect' characteristic of FIS (Rimmon-Kenan, 1983:113-4) enables the narrator, while preserving some flavour of the original speech, to edit or modify what is said in an ironic way, such as 'juxtaposing the various excuses in a list' (Pascal, 1977:52) or chopping the speech so as to underline the speaker's inexhaustable store of eager reassurances (Leech & Short, 1981:326).

It may also be noted that FIS makes it possible to bring into play the ironic attitude of the interlocutor (see Pascal, 1977:55; Ron, 1981:31; cf. Banfield, 1973:31; 1982:130). In such a case, one is given the impression that, rather than the narrator, it is the listener himself who is representing or registering what is said - with notable implicit ironic evaluation. And in such a case, as Pascal observes, 'FIS shows itself to be an instrument of meanings that cannot be communicated by other narrative forms' (op cit).

Finally, we come to the irony of register often found in FIS, an irony 'that



arises from the juxtaposition between the formal literary style of narration and the non-literary styles represented in FID' (McHale, 1978:275)<sup>63</sup>. Apparently, irony as such will more or less disappear in other modes of speech.

### 8.6.3. Empathy

In thought presentation, free indirect style is seen as more direct than the norm (IT), hence as a move 'into the active mind of the character' (Leech & Short, 1981:344-5). By bringing the reader closer to the character (thus making the emotive concern of the character more immediately felt), by fusing the narrator's voice with the character's (thereby involving the narrator and derivatively the reader – see 8.5.1.), and by preserving the emotive force of the original thought (syntax and some choices of words which are often sacrificed in IT), the free indirect mode presents a powerful vehicle for sympathetic identification (see Pascal, 1977:42-3; Short, 1982:184; Cohn 1978:112, 123-4; Banfield, 1973:29; Ullmann, 1957:104, 107, 117-9; Hernadi, 1972:192, 194-5).

It is of interest to note that the two somewhat converse functions of irony and empathy can, in a single instance of FIS, either be coexistent (Pascal, 1977:42) or be indistinguishable (McHale, 1978:275).

### 8.6.4. Polyvocality and Semantic Density

It will have emerged by now that FIS forms a mode that brings into play a plurality of voices and attitudes: e.g. the character's and/or<sup>64</sup> the narrator's, or the character's and the listener's and possibly the narrator's – if the narrator clearly shares the listener's judgement (for a comprehensive discussion, see McHale, 1978: 278-281). This clearly contributes to the semantic density of the text (see Rimmon-Kenan, op cit); and this therefore constitutes yet another reason for preserving FIS in literary translation.

## 8.7. THE TRANSFERENCE OF SLIPPING

The individual modes that we have been concerned with so far not infrequently slip into one another. Though a diversified phenomenon, slipping basically falls into two types: unobtrusive or striking. One kind of unobtrusive slipping was touched on in 8.5.2.: from IS/FDS to FIS/FDS in Chinese and correspondingly, from IS to FIS in English. Another kind presents a subtle change from authorial statement to interior portrayal (see Leech & Short, 1981:340).

As for slipping that is striking, it is typically marked by the abrupt introduction of inverted commas and/or by the sudden switch in tense and person, e.g.

- (i) From indirect to direct discourse:  
His personal decision would be given as soon as 'it is fixed in my mind'.<sup>65</sup> (FIS to DS)
- (ii) From NR to DS:  
Mrs. Verloc rose, and went into the kitchen to 'stop that nonsense'.<sup>66</sup>

whether the translator is justified in omitting the inverted commas or in unifying the tense and person depends largely on context. But one may on a general level call for the preservation of slipping – not only to reflect the original style but also on the grounds that such a device often takes on important stylistic values. In Old Icelandic, for example, the shift from indirect to direct discourse (i) is seen to correspond to the shift in content; it therefore forms a useful means of emphasizing or foregrounding, in direct quotation, the climactic part of a speech (Schuelke, 1958). The slipping from NR to DS (ii) on the other hand provides a potential scope for irony, and, further, for dissociating the narrator from the words between the quotation marks (Jones, 1968:171–2). The contrast thus formed between the objectivity of narrative



report and the subjectivity of the character's words within the boundary of a single sentence functions to yield subtlety and stylistic variety. In translation, such effects will be to some extent lost if the quotation marks are omitted, unless the words concerned in themselves suffice to contrast with the narrator's voice.

In transferring slipping, either unobtrusive or striking, two issues, among others, are likely to emerge. One is how to get rid of the incongruity that may arise in translation because of differences in languages and literary conventions. The other is, when translating a slipping between NR and S/T, how to preserve the two different planes; or whether it is justifiable to raise S/T to the narrative plane, or vice versa. To illustrate, I have chosen from Cao two cases of slipping, both from NR to T, but one subtle and the other conspicuous. While the translations of both throw some light on the issue concerning incongruity, the translations of the latter in particular serve to highlight the problem that concerns the two different planes.

#### CASE ONE: UNOBTRUSIVE SLIPPING

(Cao) zhe Daiyu chang tingde muqin shuo, ta waizumu  
(1. this Daiyu often had heard mother say, her grandmother's

jia yu bieren jia butong, ta jinri  
home from others' homes different, 2. () in the past few days

suojiande zhejige sandengde pufu, chi  
whom she had seen: these few third-rank women servants, eating

chuan yongdu, yi shi bufan, hekuang  
dressing spending already was out of the ordinary, 3. let alone

jin zhi qi jia, dou yao bubu liuxin,  
now going to her home, 4. (all) must every step be careful,

shishi zaiyi, buyao duo shuo yijuhua,  
5. every moment be on guard, 6. must not redundantly make one remark,

buke duo xing yibulu, kong bei ren  
7. should not redundantly walk one step, 8. in case by others

chixiaole qu. (p.26)

laughed at.

(A) She had often heard her mother say that her Grandmother Jia's home was not like other people's houses. The servants she had been in contact with during the past few days were comparatively low-ranking ones in the domestic hierarchy, yet the food they ate, the clothes they wore, and everything about them was quite out of the ordinary. Dai-yu tried to imagine what the people who employed these superior beings must be like. When she arrived at their house she would have to watch every step she took and weigh every word she said, for if she put a foot wrong they would surely laugh her to scorn. (p.87)

(B) She had heard a great deal from her mother about the magnificence of her grandmother's home; and during the last few days she had been impressed by the food, costumes and behaviour of the relatively low-ranking attendants escorting her. She must watch her step in her new home, she decided, be on guard every moment and weigh every word, so as not to be laughed at for any foolish blunder. (p.35)

(C) Lin Tai-yu had often heard her mother recount how different was her grandmother's home from that of other people's; and having seen for herself how above the common run were already the attendants of the three grades, (sent to wait upon her,) in attire, in their fare, in all their articles of use, 'how much more,' (she thought to herself) 'now that I am going to her home, must I be careful at every step, and circumspect at every moment! Nor must I utter one word too many, nor make one step more than is proper, for fear lest I should be ridiculed by any of them!' (p.37)

### *The Slipping in Cao :*

The beginning of Cao's passage is marked by the authorial narrator's interpretative control. Although in clause 2 the reader is made to see things from the point of view of Daiyu whose perception now qualifies the subject ('...servants whom she had seen'), what is depicted in 2 is not Daiyu's mental process (limited to an adjectival qualifier), but instead, an attributional process with '...servants...' as the attribuend. That is to say, the dominant mode used in 2 is narratorial comment. This naturally leads one to expect 3 to be the narrator's report. But the volitional 'must' at the beginning of 4 suddenly causes one to suspect that this represents the character's thought. Such an interpretation is gradually confirmed in part by the subsequent 'must not' 'should not' and in part by the patterned repetitive clauses which make for



dramatic urgency. A sensitive reader will be left in no doubt but that he has from 3 onwards penetrated into the mind of the protagonist, with the presentational mode displaying a subtle slipping from the authorial narrator's comment to a blend FIT/FDT.<sup>67</sup>

#### GETTING RID OF INCONGRUITY

As referred to above, Chinese allows constant descriptive shifts without specification, leaving the reader to fill in the gap (so that there are frequent subject and compliment omissions). This makes it possible for Cao to slip, unpreparedly yet **smoothly**, from an authorial comment on the servants to the inner thoughts of the protagonist. The wide gap in between has to be bridged in some way if the slipping is to be rendered with similar naturalness into English.

The means used by (A) is to change the mode of 3 from ostensibly NR ('let alone now going to her home') to straightforward NRTA ('Daiyu tried to imagine...')<sup>68</sup> whereby the reader is led by explicit signals into the protagonist's consciousness. Similarly, in version (B), the attributional process in Cao's 2 is replaced by Daiyu's mental process through the lexical choice 'impress'. Thus the mode is changed from the narrator's comment on the servants to a presentation of Daiyu's state of mind, providing, as a result, a smoother transition to the following FIT.

One may notice that the transition in (A) is much smoother than that in (B). For the cognition process in (A) is active (a quality reinforced by the intentional verb 'try') with the metaphenomenon (the 'wh-' clause which is lexically coloured by 'these superior beings') presenting the gist of Daiyu's mental activity, while the reaction process in (B) is on the other hand passive with the phenomenon containing narrative report of external entities.

But if the issue here is how to get rid of incongruity, it is not simply the

case that the smoother the transition the better. The slipping in Cao, though smooth, is marked by a shock effect which accompanies the sudden realization of the slipping and which rests heavily on the first 'must' that forms a sharp contrast to the narrator's voice. The shock effect is somehow lost in (A) partly because of the perhaps too smooth transition and partly because of the fact that the modal 'have to' is reduced to a mid-sentence position and is thus made less prominent and emphatic (compare B).

It is interesting that version (C) , apart from sharing with (B) the effort of turning the attributional process (2) into Daiyu's mental process, tries to get rid of the incongruity through the introduction of the inverted commas (with which explicitly to signal thought and with which to warn the reader, the switch in tense and person appears much less abrupt).<sup>69</sup> Indeed, without inverted commas, the slipping from indirect to direct discourse cited above might appear quite unacceptable:

His personal decision would be given as soon as it is  
fixed in my mind.

The same applies to many other cases of slipping from (F)IS to DS (see Schuelke, 1958). This is only another way of saying that inverted commas can be used, where applicable and if necessary, as an effective means of reducing incongruity as such.

#### CONSPICUOUS SLIPPING

(Cao) Daiyu tingle zhehua, bujue you  
(1. Daiyu heard such remarks, could not help feeling both

xi you jing, you bei you tan. suoxizhe:  
delighted and surprised, both sorrowful and regretful. 2. with what (she was)

guoran ziji yanli bucuo,  
delighted (was): as expected (my/her) own judgement (is/was) correct,

suri ren ta shi ge zhiji, guoran shi  
always (have/had) regarded him as an understanding friend, really is/was



ge zhiji; suo jingzhe: ta zai  
an understanding friend; 3. at what (she was) surprised (was): he in front  
renqian yipian sixin chengyang yu wo, qi qinrehoumi  
of others with all his heart praised me, its warmth affection intimacy  
jin bubi xianyi; suotanzhe:  
go so far as to not avoid suspicion; 4. for what (she was) regretful (was):  
ni ji wei wode zhiji, ziran wo yi kewe nide  
you since are my understanding friend, naturally I also can be your  
zhiji, ji ni wo wei zhiji, you  
understanding friend, since you (and) I are understanding friends, ()  
hebi you 'jinyu'zhi lun ne? ji you  
why there should be (the) 'gold (and) jade' talk? since there is (the)  
'jinyu'zhi lun, ye gai ni wo you zhi, you  
'gold (and) jade' talk, it should be you (and) I (who) have them, but  
hebi lai yi Baochai? ... (.388)  
why should have come a Baochai? ...

(A) (...she heard Xiang-yun lecturing Bao-yu on his social obligations and Bao-yu telling Xiang-yun that 'Cousin Lin never talked that sort of rubbish' and that if she did he would have 'fallen out with her long ago.) Mingled emotions of happiness, alarm, sorrow and regret assailed her.

***Happiness :***

Because after all (she thought) I wasn't mistaken in my judgement of you. I always thought of you as a true friend, and I was right.

**Alarm :**

Because if you praise me so unreservedly in front of other people, your warmth and affection are sure, sooner or later, to excite suspicion and be misunderstood.

**Regret :**

Because if you are my true friend, then I am yours and the two of us are a perfect match. But in that case why did there have to be all this talk of 'the gold and the jade'? Alternatively, if there had to be all this talk of gold and jade, why weren't we the two to have them? Why did there have to be a Bao-chai with her golden locket? ... (II: 131-2)

(B) This surprised and delighted Tai-yu but also distressed and grieved her. She was delighted to know she had not misjudged him, for he had now proved just as understanding as she had always thought. Surprised that he had been so indiscreet as to acknowledge his preference for her openly. Distressed because their mutual understanding ought to preclude all talk about gold matching jade, or she instead of Pao-chai should have the gold locket to match his jade amulet... (pp.469-70)

(C) This language suddenly produced, in Lin Tai-yu's mind, both surprise as well as delight; sadness as well as regret. Delight, at having indeed been so correct in her perception that he whom

she had ever considered in the light of a true friend had actually turned out to be a true friend. Surprise, 'because,' she said to herself: 'he has, in the presence of so many witnesses, displayed such partiality as to speak in my praise, and has shown such affection and friendliness for me as to make no attempt whatever to shirk suspicion.' Regret, 'for since,' (she pondered), 'you are my intimate friend, you could certainly well look upon me too as your intimate friend; and if you and I be real friends, why need there be any more talk about gold and jade? But since there be that question of gold and jade, you and I should have such things in our possession. Yet, why should this Pao-ch'ai step in again between us?' ... (II: 123)

#### GETTING RID OF INCONGRUITY

The parallel slippings in Cao (the first from NR to FDT/FIT and the rest from NR to FDT)<sup>70</sup> are most certainly characteristic of Chinese.<sup>71</sup> A strict transference into English is bound to result in incongruity.

It seems that (A)'s neat and deviant lay-out is motivated by a consideration which is more than aesthetic. It may be designed to raise the authorial narrator's statement visually to a plane higher than and different from that of FDT, which serves to divide the reader's attention between the two modes and consequently makes him more ready to accept the contrast between them<sup>72</sup>. To further play down the incongruity, (A) resorts to a subtle 'play on modes'. Behind the well-wrought, clear-cut boundary between NR and FDT, is hidden the displacement of 'because' which, though we recognize it as unmistakably belonging to the narrator, is nevertheless unequivocally attributed to the character. Thus the role of narrator is imperceptibly forced upon the character, making her collaborate in the embedded speech situation with the narrator in the first (the effect is of course that of smoothing the narrative flow). Perhaps one can even take a step further and interpret it as an imperceptible switch towards the first-person narrative mode:

**Third-person:**

Happiness (she was happy) **because** : After all (she thought)  
I wasn't mistaken...



**First-person:**

Happiness (I was happy) : **because** after all I wasn't mistaken...

We can see that (A)'s choices of the unmodified, non-deictic abstract nouns 'happiness' 'alarm' etc. lend themselves to the 'play on modes'.<sup>73</sup>

Interestingly but not fortuitously, a 'play on modes' appears in almost the same form in version (C) where (A)'s deviant lay-out also finds its counterpart (in the sense of reducing incongruity) in the inverted commas. But of course, the most smooth and natural rendering, with a notable gain in narrative economy, is offered by (B), a version that, instead of reproducing, replaces Cao's slipping by the consistent mode of the authorial narrator's statement. There apparently occurs a loss of stylistic variety. And what else does this change involve?

#### FROM THOUGHT TO AUTHORIAL STATEMENT

In a third-person novel like the present one, the authorial narrator and the character(s) present the two opposite poles of fictional objectivity and subjectivity. The slipping in Cao displays an artistic alternation between the narrator's neutral reporting voice and the character's emotive inner thoughts. (B)'s integration of the embedded thoughts into the narrative plane leads to the objectification of the former to a certain degree, with a shift in descriptive focus and a commitment on the part of the authorial narrator.

##### a) Shift in descriptive focus

At least as one possible interpretation, it is arguable that the inner thoughts in Cao are presented by (B) in such a way that they take on the appearance of facts which impinge on the character and which are perceived and reported by the omniscient narrator.<sup>74</sup> By this is meant a shift in descriptive focus from interior portrayal to external report. As the originator of thoughts is now

turned into a passive receiver of facts, the character's mind is made to appear much less active.

It is important to note that in Cao, the thoughts constitute integral processes of the emotive states, with the beginning of the thoughts marking the beginning of the emotive states; and it is the FDTs that play the essential role in directly revealing the complex feelings of the heroine. In (B), as the thoughts are made to appear as facts, the focus of interior portrayal falls back on the emotive states ('delighted', 'surprised' and perhaps 'distressed'<sup>75</sup>) of which the facts do not constitute an integral part but form the causes that exist prior to the emotive states. Compared with the FDTs of Cao or (A), (B)'s 'facts' have a much poorer or much less direct role to play in conveying the feelings of the heroine. They become associated with the feelings only by virtue of being perceived by the character.

#### b) The authorial narrator's commitment

The integration of the embedded thoughts into the narrative plane quite naturally leads to (at least possible) commitment on the part of the authorial narrator. What is most regrettable is the narrator's commitment to 'so indiscreet as to', since in Cao the hero's deeds would not be regarded as too indiscreet but for the extreme sensitivity and sense of propriety of the heroine; and it is precisely through this **unreliable** evaluation that the heroine's disposition is subtly revealed.

Now, both in the primary and the embedded speech situations in a third-person narrative, there is theoretically no limitation on personal reference or modes of expression. The authorial narrator is free, as he occasionally does, to choose to address the reader or even a character as 'you' and he can use the question or exclamation form. But the point is that if an embedded utterance is reported through the narrator in the primary speech situation



(which inevitably involves a change in the addresser/addressee relationship), the original first and second person are necessarily switched to the third, and the emotive modes of expression are usually sacrificed. This brings us to some further consequences associated with (B)'s change in mode.

### c) Limitation of personal reference

It will be clear that in Cao, the 'he' and 'you' share the same referent, namely, Baoyu, the hero.<sup>76</sup> By referring to Baoyu as 'he' (2,3), Daiyu treats him as one of the others. By addressing him as 'you' (in the earlier part of 4), Daiyu separates him from others and draws him near to herself; by referring to the two of them together as 'you and I' (in the later part of 4), which is the natural equivalent of the inclusive 'we', Daiyu identifies herself with him as a component part of the implied 'we'. This **dynamic** change in reference within the **static** situation contributes to the subtle bringing out of the complex feelings of the heroine. Being suspicious, the heroine is seldom sure of the hero's love for or understanding of her, so she is delighted with and surprised at 'his' preference. Being deeply in love with him however, she cannot help subconsciously taking the two of them as being one. The term 'subconsciously' might be descriptively inadequate, but the deviant conversational thought form (addressed to an absent interlocutor) that 4 presents does point to a rise in emotional key and an escape into unreality. One may regard the development from differentiation ('he') to identification ('we') as being of thematic importance for the growth of their mutual love and common struggle forms one of the major themes of the novel.

This important stylistic feature is lost in (B)'s authorial statement, a mode that does not permit the switch from 'he' to 'you' (compare version C). It is true that the switch also fails to appear in (A), but (A)'s failure is, significantly, not to be attributed to the limitation of the presentational mode (see note 77).

#### d) Limitation of modes of expression and fall in emotional key

Given the presentational mode chosen by (B), there is no room left for representing Cao's change from the declarative mood to the interrogative. This, coupled with the related consequences referred to above, notably suppresses the character's SELF and leads to a fall in emotional key. Indeed, the character's uncertainty or puzzlement that underlies her reasoning in Cao is drastically undercut by (B)'s straightforward 'their mutual understanding'. Perhaps against (B)'s edited, coordinate statements, the climactic progressive questioning well brought out in (A) and (C) could be better appreciated.

By way of examining the two cases of slipping, we get a glimpse into the two issues under discussion: one about incongruity, the other associated with the two different planes (NR vs. S/T). It will be clear that once the embedded S/T is raised to the narrative plane, it becomes subjected to many limitations and is made to serve quite different functions (the rendering by (B) in the latter case surely constitutes 'deceptive equivalence'). The discussion of the two cases may highlight the point that, in the transference of slipping, the problem confronting the translator goes beyond a simple matter of available modes. The slipping from NR to FIT or FDT that Cao presents is, abstractly speaking, not uncommon in English, but as we have seen, a strict reproduction of Cao's slippings in English is out of place. Indeed, differences in languages and literary conventions are more likely to come to the fore in the transference of slipping than in that of a single mode.

#### 8.8. A POTENTIAL TRAP OF COMMITMENT

In the section above, attention was drawn to the undesirable commitment of the authorial narrator which results from the translator's integrating the embedded thought into the narrative plane. Although the case does not go so



far as to lead to a notable violation of the Mimetic Cooperation Principle (see 8.6.1.), it does point to such a potential danger in translation where the not infrequent change in presentational modes may from time to time results in the commitment of the authorial narrator.

It should be noted that the narrator is not necessarily committed to what is presented on the narrative plane. Given the following sentence:

Karl Yundt had come too, once, led under the arm by that  
'wicked old housekeeper of his'. (Conrad, The Secret Agent)

if the inverted commas were omitted, the narrator could remain detached so long as the words within them were idiosyncratic enough to contrast with the narrator's voice. On the narrative plane, that is to say, style alone can suffice to signal a character's voice and to leave room for the narrator's detachment, which is most typically accompanied by the effect of ironic distance.

It should be noticed on the other hand that the narrator's commitment is not limited to narrative report. It is likely to occur at least in one kind of NRSA:

vi (vt + n) + prep + n (He swore at her laziness.)

where the final nominal group forms a potential trap of commitment, if, of course, presented in a neutral reporting style. To look into the problem, we may start by comparing two kinds of NRSA:

(A) He told them a story.

He ordered them to go at once.

He promised to return.

(B) He made a criticism of the library.

He swore at her laziness.

He complimented him on his courage.

In (A), the *boldfaced* parts form the contracted content of the speech where the narrator is not committed. In (B), however, the *boldfaced* parts seem to form specification (of the SA) provided by the narrator, which are connected with but are to be distinguished from the speech proper. Clearly, in contrast to 'a story' or 'to go at once', the phrases '(of) the library' '(at) her laziness' are not directly taken or contracted from the original speech; rather, they are provided by the narrator to indicate the subject or object of the speech act. And the narrator, if **omniscient**, is naturally held responsible for their truth. This point may be backed up by the fact that a semantic clash may occur if the nominal groups concerned are negated by the (omniscient) narrator himself:

He warned him of the danger. But in fact it was not dangerous.

Compare:

He warned him that it was dangerous. But in fact it was not.

Similarly:

He complained about the darkness in the room. But it was not dark at all.

(He complained that the room was dark. But it was not dark at all.)

To further illustrate the point, I now present two cases taken from Cao's translations:

- (i) But Tai-yu, though when they first met, continued in cheerful spirits, could not again, when the recollection afterwards flashed through her mind **that one and all had their relatives, and that she alone had not a soul to rely upon** (C, II:395)

Dai-yu, observing them, at first shared in their happiness, but when she began to reflect on **the contrast with her own solitary and orphaned state** (A, p.469; see Cao, p.605)

- (ii) Feng Su would treat him to a few pearls of rustic wisdom whenever they met, but behind his back would grumble to all and sundry about **'incompetents' and 'people who liked their food but were too lazy to work for it'** (A, p.63)

while Feng Su kept admonishing him to his face and complaining to all and sundry behind his back of **his incompetence, idleness and extravagance** (B, p.15; see Cao, p.11)

(my boldface)



There seems little doubt that the narrator is committed to 'the contrast with her own solitary and orphaned state' and, perhaps in a lesser degree, to 'his incompetence, idleness and extravagance', while being detached from their corresponding parts in the other translations as well as, significantly, in Cao (both being IS/FDS).

It is true that the narrator's commitment brought about by a change in modes is not necessarily undesirable. But it seems best to be avoided at least in the following circumstances: a) when the S/T is seen to be non-factual and b) when the S/T is connected with suspense (which may suffer from dissipation by virtue of the narrator's commitment). The narrator's commitment in (ii) above is undesirable for it permits the inference that the narrator shares the speaker's judgement, one that is largely false. Unless associated with such side effects, commitment is not necessary to be guarded against. But what always seems necessary is a full awareness of all potential traps of commitment.

## CHAPTER 9

### CONCLUSION

An apparent general conclusion to the present study on Literary Stylistics and Translation is that the application of stylistics to literary translation – particularly to the translation of prose fiction – is very useful and highly necessary. In terms of the nature, function and validity of stylistics as a discipline in itself, a number of specific conclusions can be drawn from the discussion in Part One. Literary stylistics, as a discipline mediating between linguistics and traditional criticism, differs significantly, as we saw in Chapters Two and Three, from other approaches to style in terms of the objects of investigation, the typical mode of argumentation, and the principles of inquiry. A realization of those differences is clearly crucial to an understanding of the true nature of this discipline, as borne out by the analysis of Fish's 'What is stylistics and why are they saying such terrible things about it?' (1973).

As regards objects of investigation, literary stylistics characteristically concerns itself with the aesthetic or thematic function of linguistic form. To understand the role of stylistic analysis of this textual dimension, it is important to realize that the aesthetic significance of linguistic form (in relation to the total significance of the work) varies a great deal in literature – not only between poetry and the novel but also within the genre of prose fiction. While the distinction between linguistic form and fictional reality is often found untenable in poetry (where the poet's personal vision of the reality as embodied by given choices of linguistic form tends to be or become the reality and where the linguistic medium tends to attract attention in its own right), in traditional realistic fiction the distinction between linguistic form and fictional reality, or that between narrating discourse and the narrated story, is, generally speaking, feasible and helpful, and tends to be maintained. In 2.2.1 and 2.2.2, I



discussed the stylistician's concern with the aesthetic function of linguistic form and of fictional 'facts' respectively. This has, I hope, provided a clearer picture of the specific roles and procedures of stylistic analysis. In order to avoid confusion, though, one has to be aware of any narrative dimension where the distinction between narrating discourse and fictional reality does not apply: character's mind-style occurring at the level of primary narration in a third-person fiction is, as I argued, a case in point.

The stylistician's typical progression in argument from one frame of reference, that of linguistic form, to another, that of literary significance, bears the brunt of criticisms of literary stylistics. In Chapter Three, I singled out and argued against two contrasting attacks: one made by Roger Pearce from the perspective of a linguist and the other by Stanley Fish from the viewpoint of a critic. If Pearce's charge is – as it surely is – based on a misunderstanding about the conventional nature of signification and about the purposes of literary stylistics, Fish's criticism also displays a notable lack of understanding of the nature, function and validity of stylistics as an intermediary discipline. By analysing various charges made by Pearce and Fish and by comparing literary stylistics with some other stylistic modes including Fish's 'affective stylistics', I hope to have helped to show the true nature of the typical mode of argumentation used by literary stylisticians, providing a reliable, though not necessarily comprehensive, picture of its theoretical foundation, its analytic procedure and its main characteristics.

Helpful to our understanding of the validity of stylistics is an adequate realization of what the linguistic basis in stylistic analysis really involves. My explication of the linguistic basis in Chapter Four started from drawing a preliminary distinction between convention and interpretation. This distinction, once argued, may seem quite obvious, but it is not a distinction readily recognized. In the contemporary debate between the champions of the text

and the champions of the reader (a debate which here I have no intention to enter), or in the various accounts of reading (see Culler, 1982), one seems to have never come close to this basic distinction, which in my opinion is fundamental to such discussions. When E.D. Hirsch (1976) argues about the distinction between 'meaning' (the author's intended meaning) and 'significance' ('textual meaning in relation to a larger context, i.e., another mind, another area, a wider subject matter, an alien system of values, and so on'), what his arguments show is, as indicated by Culler:

the need for dualism of this kind in our dealings with texts and the world, not the epistemological authority of a distinction between the meaning of a text and the significance interpreters give it, or even the possibility of determining in a principled way what belongs to the meaning and what to the significance. We employ such distinctions all the time because our stories require them, but they are variable and ungrounded concepts. (1982:77)

The case is, however, not as hopeless as it appears. The theoretical or epistemological grounds for such a distinction can be sought in the distinction between convention and interpretation as discussed in Chapter Four: the 'meaning' of a text lies in the relevant conventional relations (specific or general) between words and meaning which obtain at the time of the writer's creative act (and which exist independently of an individual reader's interpretation), and the 'significance' of the text resides in readers' interpretative acts.

The distinction between convention and interpretation provides us with a valid premise for considering the objectivity of the linguistic basis. Given that, in the social reality of language, objectivity is, in effect, a matter of convention, linguistic features (including deviation or unique combination or whatever) constitute objective linguistic facts, if located or locatable in the conventional linguistic system. While linguistic convention, as opposed to interpretation, operates to establish the linguistic system (the resources of the writer's



creative acts), literary convention, rather than interpretation, is responsible for producing the properties which texts take on in literature.

But just to make clear the objectivity of the linguistic facts themselves is far from sufficient. In terms of the objectivity of stylistic analysis as a process (an issue which is closely related to the discussion in chapter 3), what is involved is also the relation between the linguistic basis and the resulting literary interpretation. In 4.2.2., I discussed in considerable detail the nature of the link or 'parallel' which serves to correlate linguistic form with literary significance. It should have become clear that the link or 'parallel' is a quite variant entity. In some cases, as we saw, the link or 'parallel' is no more than **superficial** similarity between the perceivable physical properties of the linguistic fact and the literary significance involved: the two elements are conventionally irrelevant to each other. In such cases, the linguistic form/pattern (its basic psychological value) has a relatively small role to play in the given correlation: the determining force comes largely from the particular literary context, from the developing interpretation in the light of which the linguistic fact is viewed. The lack of conventional grounds points to the relatively great indeterminacy as well as subjectivity of the correlation involved. Without any conventional ground (what is in question is of course merely linguistic convention), the analyst can only base his claim on the contextual prominence of the linguistic form/pattern, on the contextual impact of its psychological effect, on the shared intuitive response to the form/pattern in the particular context. In some other cases, however, the link between the linguistic form/pattern and the literary significance concerned is more intrinsic and is one based, to a certain extent, on convention, with the basic psychological value of the linguistic form/pattern constituting a conventional value basis for contextual extension. In this type, the correlation between linguistic form/pattern and literary significance is, on the whole, more

objectively based than that in the preceding type. And since greater determining force stems from the linguistic fact itself (as opposed to the particular literary context), the correlation is more likely to hold true, up to a point, for similar linguistic features in other literary contexts.

Now, insofar as the linguistic basis itself is concerned, Stanley Fish is clearly mistaken in putting convention on a par with interpretation, so that conventionally objective linguistic facts are wrongly treated as entities subjectively produced by interpretation. When it comes to the correlation between linguistic facts and literary significance, Fish is also wrong in terms of emphasizing and magnifying the role of interpretation to the point of denying, completely and unexceptionally, the determining force of linguistic facts. Indeed, but for the determining force of the linguistic basis (which embodies the writer's creativity and artistic achievements), the existence of stylistics, whose function is to account for how the writer's verbal choices give rise to or contribute to certain aesthetic or thematic significance, would not have been necessary. And but for the determining force as such, it would not be necessary for a literary translator to try to preserve the original effects with functionally equivalent means or devices in the target language. This points to the main task of Part One: it seeks both to make a contribution to the understanding of certain aspects of stylistics as a discipline in itself and to pave the way for the application of stylistics to fictional translation. It need hardly be said that the study in Part One sheds light on the relevance (primarily in terms of the objects of investigation) and applicability (a quality based on validity) of stylistics to fictional translation discussed in Part Two.

Part Two starts by defining the place of stylistics in fictional translation. Given that linguistics-oriented general translation studies are inadequate when applied to literary discourse, given, moreover, that studies of literary translation have been neglecting the translation of prose fiction, and, most relevant of all,



given that many specific problems posed by fictional translation, which may be subsumed under the heading 'deceptive equivalence', at present can only be quite effectively solved by the introduction of stylistic analysis, the application of stylistics to fictional translation is very useful and highly necessary. I have tried to demonstrate such a usefulness and necessity by cases mainly drawn from English translations of Chinese classic and modern realist fiction. The limitation of space permitted me only to discuss some aspects of lexical expression, of syntax, and of speech and thought presentation. But the discussion should have implications for literary translation in general.

Literary translating, as noted in the introduction, is a complex process subjected to the influence of numerous variable factors, such as whether the translation should be source-language-oriented or target-language-oriented, or whether a given original should be adapted for certain pragmatic purposes. The dimension to which stylistics has the potential of making most contribution is chiefly formal or structural. A large part of the present analysis is devoted to the level of narrating discourse. The primary function of stylistics here is, as shown above, to sharpen the translator's sensitivity towards the workings of stylistic and rhetorical devices: partly by means of improving the translator's understanding of the workings of the language system and partly by means of enhancing the translator's awareness of how literary conventions and the writer's creative acts combine to make linguistic features take on aesthetic significance. Closely related to this, stylistics can operate, as demonstrated above, to expose effectively 'deceptive equivalence', precisely revealing the loss of stylistic values caused by the translator's distortions.

Most sections of the present analysis are titled according to the stylistic devices and/or effects involved. In Chapter Eight, a fairly systematic examination is taken up in terms of the communicative and expressive functions of the modes of S/T presentation in Chinese and in English, and in

terms of the functional correspondence in this area between the two languages. From the evidence of both the negative and positive renderings presented above, it is clear that an adequate realization of the function of stylistic norms as well as the contextualized stylistic devices (in both languages) is crucial to the avoidance of 'deceptive equivalence' and to the production of expressive identity.

As indicated by the above cases of 'deceptive equivalence', translation of realist prose fiction is quite often marked by a lack of adequate awareness of the novelist's verbal artistry, an artistry which is much less obtrusive than that of the poet's. If Cluysenaar is reasonable in attributing C.D. Lewis's mistranslation of Paul Valéry's poem 'Les Pas' to 'a failure in translation theory as applied to literature' (1976:41), one surely has good reason to ascribe the fictional translator's stylistic non-discrimination to the backwardness of studies of fictional translation, which have on the whole remained remarkably traditional and impressionistic. The remedy clearly resides in the introduction of the more precise and more penetrating stylistic analysis which, not only informed by modern linguistics but also taking literary competence or sensitivity as a prerequisite, can effectively help the translator to achieve functional equivalence.

I hope my discussion pertaining to the level of fictional reality is sufficiently worthwhile to justify my choice of the data. The unfortunate fact is that what I defined as 'deceptive equivalence' at this level has hardly been discussed by studies of fictional translation, which tend to go no further than errors caused by inadequate linguistic (as distinct from literary) competence. The translator's distortion of fictional reality due to factors over and beyond inadequate linguistic competence (particularly a failure to realize the larger structural or thematic function of the 'facts' involved) is seen to constitute a great menace to the aesthetic significance of the realist fiction being translated. The remedy,



as shown above, also lies in stylistic analysis. Given the following pairs:

- (a) her face ... had moreover **completely lost** its former expression of sadness, as if carved out of wood

she looked ... like a wooden thing with an expression of tragic sadness **carved into it** (6.1.2.)

- (b) I realized that **my greater coldness to her** recently had aroused in her worry and uncertainty

I realized that I **had become indifferent to her indifference** and this, in turn, had aroused in her fear and uncertainty (6.2.)

it is true that the contrast (marked by boldface) between the alternative lexical expressions is not a matter of the **way** of using language but it is a matter of choice. The original author's choice has, as we saw, an aesthetic motive and an aesthetic effect, both of which are distorted by, and are highlighted against, the translator's rendering. The basic task of stylistic analysis here is to elucidate the aesthetic function associated with the author's choice of words/'facts' in SL and the aesthetic losses caused by the translator's alterations. The analysis is characterized by **close observation** of the relation between a given choice and its surrounding textual features, paying special attention to the structural or thematic function of the choice involved: e.g. what role it takes on in characterization or in plot-construction, or what bearing it has on authorial stance or on the dramatized narrator's reliability.

In discussing cases pertaining both to narrating discourse and to fictional reality (and in the overlapping cases), a large amount of attention was directed to deviation – 'conceptual' as well as linguistic. This emphasis is determined in part by the nature of literary discourse where aesthetic effects are often generated through violation of conventional rules or expectations and in part by the fact that, because of the general human inclination for coherence or straightforwardness, deviant elements are most frequently made to undergo losses in translation. Many aspects of deviation, such as the 'illogical',

'unreliable' or 'redundant' elements singled out for the present discussion, are potentially deceptive, and thus tend to bear the brunt of the translator's alterations. Through an effort to reveal their true meanings and purposes, the analysis above may operate to help the translator to preserve the aesthetically-motivated deviant choices.

In effect, as a reader, one may find it much easier to come to terms with deviant elements. For one is after all reading a work done by someone else. It is particularly when one functions as a translator – when the work is subjected to one's own reproduction – that one's reasoning processes are likely to collide with those of the original author. The discussion above also reveals that the forces militating against a successful representation of the original may take the form not only of conventional expectations or stereotypic conceptual or perceptual characteristics, but also of emotional involvement such as 'sympathetic identification' or 'practical interests', all of which need to be guarded against in the process of translation. Indeed, one may have to suppress consciously one's own liking in favour of that of the author, based on a full awareness of the aesthetic functions of the original choices involved, otherwise distortion or 'deceptive equivalence' might be unavoidable.

Interestingly and significantly, fictional translation not only offers a congenial area for demonstrating the practical potential of stylistics but also provides various opportunities for enriching the knowledge of stylistic properties (the same applies to literary translation in general). The problems and solutions that emerge in interlingual fictional transfer, as shown by the present analysis, serve to offer fresh insights into the workings of stylistic devices, and/or into the dialectical relation between linguistic form and fictional reality, and/or into the way that fictional discourse is organized. In this connection, I directed attention in Chapters Seven and Eight especially to certain of the peculiar ways in which language is manipulated to generate



aesthetic significance in Chinese and to the methods used by the translators to achieve functional correspondence in English. The contrast in various form between the peculiarities of the original and the contextual adjustments made by the translator often operates to shed light on the aesthetic function of the linguistic medium and on the underlying linguistic and literary conventions which tend to remain opaque within the boundary of a single language. Interestingly, the contrast between the peculiar shortcomings of the original and the translator's improvements has, as we saw in 8.4., a very similar function.

It is to be hoped that more stylisticians would come to the field of literary translation, where a vast amount of material is waiting to be analysed and where a stylistician can work not only in the interests of literary translation but also in the interests of stylistics itself. In this field, instead of one actual choice and its **hypothetical** or **potential** alternatives, the analyst has the benefit of two or more **actual** choices made by two or more human beings with different expressive means in two, or possibly more, different languages (this seems to be a most natural kind of material for stylistic analysis). The contrast or conflict between the consciousnesses as well as between the linguistic and literary systems involved functions to offer stylistic insights and to provide opportunities for enriching stylistic resources both in SL and in TL.

It is likewise to be hoped that more theorists and practitioners of literary translation would be interested in literary stylistics (based on an adequate knowledge of modern linguistics and literary criticism). For without adequate stylistic competence, a theorist cannot effectively help the literary translator to achieve functional correspondence or expressive identity. Similarly, without adequate stylistic competence, a literary translator seems to be in no position to convey successfully the aesthetic significance of the original.



## NOTES

CHAPTER 1

1. In English, there seems to have been only some dozen attempts at applying stylistics to literary translation, such as Cluysenaar, 1976:41-9; Beaugrande, 1978; Bassnett-McGuire, 1980:109ff. In Chinese, the few attempts found take the shape of brief articles in Fanyi Tongxun (Translators' Notes) and in Chinese Translators Journal (see, for instance, Han, 1984:15-9; Zhu, 1986:39-41).
2. Not in the sense as used by Ronald Carter who contrasts 'linguistic stylistics' with 'practical stylistics' (1982). 'Linguistic stylistics' in a sense like that used by Carter has also sometimes been used in contrast with 'literary stylistics'. (Interestingly but not surprisingly, M.H.Short (1982) uses 'literary linguistic stylistics' to refer to this intermediary discipline.)
3. Modern Chinese fiction covers the period from about 1919 (the New Cultural Movement) to 1949 (the founding of the People's Republic of China). Literature written afterwards is usually referred to as contemporary rather than modern.

CHAPTER 2

1. Those so-called personal choices are of course also associated with conventional usages or rules.
2. I think mental characteristics are something quite different from distinctive ways of perceiving and organizing experience since the former refers primarily to one's 'inner' temperament and mental make-up (i.e. mental characteristics such as 'weak', 'dominating', or 'agitated'), while the latter refers to one's perception of external entities. Compare: 'his terse syntax points to his dominating nature' with 'he sees things as closely associated with one another, which is reflected in the interconnection of his syntax'.
3. Concerning the association between linguistic habits and personality (in the former sense), one needs to note: first, the point that a writer's personality determines the quiddity of his style implies that the writer can exert no control over the style at all, all of it being determined by habits, associations, and conditioning (Milic, 1971:80). It follows that if the writer consciously controls his linguistic choice for this or that purpose (as in the case of 'technique' or rhetorical choice), his 'style' (if we may still call it so) most probably no longer reflects his personality. Secondly, as Milic observes, a rhetorical choice may shade into a linguistic habit. In such a case, the change may be due to personal predilection and, therefore, possibly personality but it may be due to factors that do not have to do with personality. Furthermore, when searching for personality in linguistic habits, one needs to be on guard against attributing choices that are more or less determined by subject matter or genre to the writer's own predilection or personality (see Leech & Short, 1981:12. For the association between subject matter and style in Hemingway etc.,



see Lutwack, 1960:211; Milic, 1971:82-3).

4. Leech and Short write, 'Although we shall be mainly concerned with cumulative tendencies of stylistic choice, even a single sentence, such as ['Bob Cowley's outstretched talons gripped the black deep-sounding chords'], might be said to encapsulate a mind style' (1981:188). From such an observation one may infer the fact that the author's cognitive process or mind style can be reflected both by the habitual and by the thematically-motivated choice. What, though, seems to be missing in Leech and Short is a distinction between the habitual and the thematically-motivated choice. This seems to lead to some potential confusion in the following statement:

It is a commonplace that a writer's style reveals his **habitual** way of experiencing and interpreting things: we might say, for example, that the passages analysed in 3.3-5 exemplify respectively something of the world views of Conrad, Lawrence, and James. (1981:188; my emphasis)

Upon the evidence of the analyses in question, the 'something of the world views' of these writers is brought out both by the habitual and by the rhetorical or thematically-motivated choices. As regards the latter, the reflected 'way of experiencing and interpreting things' is perhaps not 'habitual', as in the following analysis of a passage in Conrad's The Secret Sharer:

The effect of placing the short sentence at the end is powerful: whereas other sentences relate the setting to the observer, this one relates the observer to his setting, and thereby summarizes what has been implied in the rest of the paragraph. Since this sentence explains the context of what precedes, we might think it more natural to place it (deprived of the connecting words 'And then') at the beginning of the paragraph. But in that case the expression 'I was alone' would have been banal: it is only after we have *felt* the isolation of the speaker in all its particularity, and have seen the last vestige of human life disappear over the horizon, that we can understand the force of the simple statement. (pp.85-6)

This inter-sentential organization seems to be motivated by this particular literary context and seems to reveal more of Conrad's view of this particular phenomenon of experience than of his habitual or persistent way of experiencing and organizing things.

5. See Ian Watt, 1957, p.33.
6. Of course with the exception of modern experimental fiction, where the medium tends to attract attention in its own right and where the reader's reconstruction of fictional reality is frequently frustrated by violations of normal linguistic usages or rules (see Leech & Short, 1981).
7. But of course the explanation lies also in the obvious difference between the two genres in terms of verbal intensity or opacity: poetry as a genre works by elegant concentration with foregrounding achieving 'maximum intensity to the extent of



pushing communication into the background ... in order to place in the foreground the act of expression, the act of speech itself' (Mukařovský, 1964:19); whereas the novel as a whole works by exhaustive presentation, attracting much less attention to the linguistic medium.

8. It is, though, understood that many authors use what is referred to as 'speech allusion': the selective imitation by the author of a character's or some characters' style of speech in primary narration (see Leech & Short, 1981:349-50). But 'speech allusion' is usually very short and intermittent in a narrating discourse which is unmistakably that of the author's. Further, it may be noted that, to save space and to avoid complications, I shall not discuss the case of a dramatized narrator (or dramatized narrators).
9. As alternative expressions of the same fictional event, their difference can be regarded as a matter of linguistic form. But they differ at the level of phrase structure, and could not, in any logical sense, be taken as paraphrases of one another (see Leech & Short, 1981:31ff.).

### CHAPTER 3

1. This is followed by 'However, such a hypothesis is very far from being argued, let alone tested, here.' Now, since the hypothesis is 'clear' to Pearce and is, by analogy, clear to a reader no less competent than Pearce, perhaps there is no need to spell it out. As for 'let alone tested', see the discussion below.
2. According to Pearce, the least problematic way is to produce linguistic statement and critical statement separately or 'on their own', each involving only one frame of reference.
3. I have omitted a discussion of a few lines of Pope which are introduced by Pearce to show that 'In certain cases such a claim [like that of Cluysenaar] is justified'. What I see here is just another case of inconsistency in Pearce's position. Here he accepts two frames of reference on the grounds that the poet is 'self-conscious' and is 'explicitly playing a multi-layered game with the reader'. Suffice it to say that if other authors were all as 'self-conscious' as Pope and, closely related to this, if their 'parallels' were as explicit or obvious as the one here, stylisticians would no longer be needed, for the competent readers could hardly miss the effects.
4. Thorne's this article 'Generative grammar and stylistic analysis' falls basically into three parts: first, a discussion of the relation between general subjectively-stated impressions of style (such as 'complex' 'terse') and identifiable structural properties; secondly, a study of the relation between syntax and literary significance; thirdly, a discussion of linguistic structures characteristic of poetry and of how to give them an adequate grammatical description (the quotation above is taken from the third part).
5. Thorne's analysis of the Donne poem is, in effect, meant to illustrate a) grammatical deviation in poetry; b) that the deviation involved may be found to be regular within the context of the poem. These concerns are however substituted in Fish's representation by the concern with the relation between linguistic form and



literary significance - by virtue of the fact that the passing note 'It seems likely...' is made to appear as the sole end that the analysis aims at.

6. Given that this is the only part devoted to reading from syntax to literary significance and that Fish purports to present Thorne as a typical stylistician who does such a reading, it is surely unjustifiable to leave it out.
7. Fish writes,

the search for a paradigm of formal significance is a futile one. Those who are determined to pursue it, however, will find in transformational grammar the perfect vehicle; for since its formalisms operate independently of semantic and psychological processes (are neutral between production and reception) they can be assigned any semantic or psychological value one may wish them to carry. Thus Ohmann can determine that in one of Conrad's sentences the deep-structural subject 'secret sharer' appears thirteen times and conclude that the reader who understands the sentence must 'register' what is absent from its surface; while Roderick Jacobs and Peter Rosenbaum can, with equal plausibility, conclude that the presence of relative-clause reduction transformations in a story by John Updike results 'in a very careful suppression of any **mention** of individual beings' as agents. In one analysis the grammatical machinery is translated into an activity the reader must perform; in the other it prevents him from performing that same activity. This is a game that is just too easy to play. (p.59, my boldface)

Fish is, in my view, exploiting the difference between surface and deep structure to mislead the reader. The 'suppression of any mention of individual beings as agents' (in **surface** structure) does not mean that the reader need not register, consciously or subconsciously, the 'unmentioned' functions which necessarily obtain in deep structure and which necessarily come into the reader's interpretative process. (Put simply: the writer does not mention (in surface structure) these 'agents', but the reader has to take into account (perhaps subconsciously) these 'agents' in order to understand the text). As far as I can see, there is no real contradiction between the two cases involved. Indeed, given the following observation by Fish, I can only take his criticism above as deliberately misleading. Fish points out that, in reading

which is the actualization of meaning, the deep structure plays an important role, but it is not everything; for we comprehend not in terms of the deep structure alone, but in terms of a *relationship* between the unfolding, in time, of the surface structure and a continual checking of it against our projection (always in terms of surface structure) of what the deep structure will reveal itself to be (1970:144)

8. What is relevant here is the result of the breaking of selectional rules or the result of the use of deletion transformations, i.e. static structural facts.
9. Of course not the overall sense, but one aspect of it, an aspect that is highlighted through the formal description.



10. There is a perceptible parallel between the linguistic fact (the absence of transitive clauses or the fact that only the mover is affected) and the sense concerned. The conformity to the convention of thematic unity of form and content is evident (given, of course, the Darwinian reading of the novel).
11. Compare this with 'transitivity patterns...are the reflexion of...the inherent limitations of understanding, whether cultural or biological of Lok and his people' (Halliday, 1971: 350). The essential difference between the two should be clear. It is apparent that 'the inherent limitations of understanding' is **directly inferable** from Lok's primitive language (formalized in transitivity terms).
12. It should be noted that since the significance involved is encoded in an unconventional way, there is a certain degree of indeterminacy. Thus, what is expected is not the acceptable interpretation but a set of acceptable or plausible interpretations. The point is that the existence of acceptable alternative(s) does not prove that a critic is wrong.
13. One needs to be aware that, normally, when a stylistician comes to the stage of writing, he has already gone through the text more than once. What is written is in effect a systematic summary of some aspects of the processes of reading which are marked by complex and parallel operations of the mind, such as intuitive perception of the meaning of the work, observation or investigation of aesthetically motivated linguistic features, with one feeding into another ( I shall come back to this point later).
14. Fish goes on to say that another reason for Halliday's being arbitrary in the given direction lies

in the opportunity it provides him to make his apparatus the hero of the novel. For in the reading Halliday offers, the deficiencies of the 'people' are measured by the inability of their language to fill out the categories of his grammar. Thus when he remarks that 'in Lok's understanding the complex taxonomic ordering of natural phenomena that is implied by the use of defining modifiers is lacking, or...rudimentary' (p. 352), we see him sliding from an application of his system to a judgment on the description it yields; and conversely, when the 'new people' win out, they do so in large part because they speak a language that requires for its analysis the full machinery of that system. Not only does Halliday go directly from formal categories to interpretation, but he goes to an interpretation which proclaims the superiority of his formal categories. The survival of the fittest tribe is coincidental with a step towards the emergence of the fittest grammar. Whether Golding knew it or not, it would seem that he was writing an allegory of the ultimate triumph of Neo-Firthian man. (pp. 63-4)

I have no doubt that Halliday is trying to test or prove the validity of his grammatical model as applied to the analysis of literary text. But it is not true that this concern makes him arbitrarily adopt the Darwinian reading. The comment by Fish is misleading for the following reasons. First, insofar as the validity of the grammatical model is concerned, whether to have the Darwinian reading or to have the Edenic reading does not really make any difference. As Fish says, Halliday's



formal description is equally open to the 'Edenic' reading; more specifically, the choice of inanimate objects as subjects, the lack of transitive clauses with human agents etc. may point to a 'harmony between man and an animate nature' while on the other hand, more modifiers coupled with the absence of inanimate agent etc. may point to 'the taxonomic aridity of a mechanistic universe'. It follows that, if the 'Edenic' reading had been chosen instead, Halliday could have proved the validity of his grammatical model to the same extent. Secondly, Fish's representing Halliday's formal distinction in terms of sheer quantitative contrast ('the inability to fill out the categories' versus 'a requirement of the full machinery') is a distortion of Halliday's analysis. As far as I can see, the essential distinction drawn by Halliday is not one in terms of quantity but one in terms of nature, such as intransitive vs. transitive; non-human subject vs. human subject; non-defining modifier vs. defining modifier. Clearly, so far as the quantity of the categories are concerned, such contrast in nature does not make any difference (each side fills out a certain category). When quantitative difference does arise, it is not a matter of 'an inability to fill out the categories' versus 'a requirement of the full machinery'. In the language of the 'people', 'the use of defining modifiers is lacking' but only found to be accompanied by an abundance of various kinds of spatial adjuncts which is not seen in the language of the 'new people'. In the new people's language, there is a large quantity of transitive clauses, but only to be accompanied by many fewer intransitive ones and 'no single instance...of an animate agent. In A (the 'people's language) and B we had *the echos of Liku's voice in his head sent him trembling..., the branches took her...* in C (the 'new people's language) we have only *the sail glowed, the sun was sitting in it...* Parts of the body no longer feel or perceive' (Halliday, 1971: 357). That is to say, some categories filled out by the language of the 'people' are not filled out by the language of the 'new people' or vice versa. It will have become clear that the general quantitative contrast is imposed by Fish on Halliday's analysis. Finally, one must not mix the grammatical model with the object language. Halliday's observation 'the use of defining modifiers is lacking, or... rudimentary' is a judgment on the deviant primitive language against the norm of modern English. In a sense, Golding is writing an allegory of social development - reflected in the triumph of a more modern English over primitive English.

15. The fact that Fish's effort to salvage stylistics is unnecessary may become more obvious if we look into Halliday's case. Given the following observations by Halliday:

...for a long passage...the principal character, Lok, is hidden in a tree watching the tribe in their work, their ritual and their play, and the account of their doings is **confined within the limits of** Lok's understanding, requiring at times a considerable effort of 'interpretation' (p. 348; my emphasis) In terms of the processes and events as we would interpret them, and encode them in our grammar, there is no immediate justification for the predominance of intransitives; this is the result of their being expressed **through the medium of the semantic structure of Lok's universe**. In our



interpretation, a goal directed process...took place: someone held up a bow and drew it; in **Lok's interpretation**, the process was undirected...: *a stick rose upright and began to grow shorter at both ends.* (p. 350; my boldface)

it should be apparent that the following observation by Fish is redundant and his criticism of Halliday is unfair:

In any number of contexts, the sentence 'the stick grew shorter at both ends' would present no difficulty for a reader; it would require no effort of interpretation, and therefore it would not take on the meaning which that effort *creates* in The Inheritors. Halliday's mistake is not to assert a value for his data but to locate that value in a paradigm and so bypass the context in which it is actually acquired. (p. 64.)

16. Fish writes, 'The stylisticians proceed as if there were observable facts that could first be described and then interpreted.' (1973). This applies to reading from linguistic form to personality but does not apply to the characteristic mode of argumentation (see the classification below; see also 4.4.).
17. It is true that as distinct from Fish's constant explicit references to the reader's mind, the stylistician typically talks about what aesthetic or psychological effects the linguistic choices (themselves) take on in a particular context. But one needs to be aware that usually the effects or values etc. are, in essence, the analyst's intuitive responses to the data elicited in the reading process. It will be recalled that at the beginning of this chapter, Cluysenaar's statement '... as if line one were short of time' was explicated by Pearce as

We can see then, the possibility that the experience of this relationship in the world, between lack of time and incompleteness, may lead to an association producing the psychological sensation of being short of time when something appears incomplete...

Superficially, Cluysenaar is talking about 'line one', but actually she is talking about the 'psychological sensation' elicited by line one. The same holds for stylistic analysis in general: the statements about the aesthetic effects of the given linguistic choices can be reformulated as statements about the reader's responses to the data (or vice versa). The point will be clearer if one has a look at the following statement by Fish:

There are two vocabularies in the sentence; one holds out the promise of a clarification - 'place,' 'affirm,' 'place,' 'punctual,' 'overthrow' - while the other continually defaults on that promise - 'Though,' 'doubtful,' 'yet,' 'impossible,' 'seems'.

This observation is one about the effects of the data but it can be reformulated as



one about the reader's response without making any difference in essence.

18. An important point to notice concerns Fish's belief 'meaning as an event'. Fish writes, 'It [the sentence] is no longer an object, a thing-in-itself, but an *event*, something that *happens* to, and with the participation of, the reader. And it is this event, this happening - all of it and not anything that could be said about it or any information one might take away from it - that is, I would argue, the *meaning* of the sentence' (1970:125). In my opinion, it is much more helpful to regard a word, phrase, sentence etc. as an object and **the interpretative process as an event**, an event in which the object (this word, or these words in this order) affects the mind or the mind responds to the words as they succeed one another. Fish's object of investigation is the interpretative process which actualizes meaning but which should not be equated with the meaning of the text. Given the opening sentence of Fielding's Tom Jones: 'An author ought to consider himself , not as a gentleman who...', in the process of interpretation, when the reader has taken in 'an author ought to', he may have a number of (preconscious) projections of what follows: 'write' (?), 'say' (?), 'act' (?) etc.. Similarly, when the reader has taken in 'an author ought to consider himself not as', he may (unconsciously) predict what follows as 'a character' (?), 'a peasant' (?), 'a professor' (?) etc.. In my view, these predictions or hypothesizing acts are mental operations involved in interpreting the sentence, but these predictions ('write'/'say'/'act' (?) or 'a character'/'a peasant'/'a professor(?)) are not part of the meaning of 'an author ought to consider himself, not as a gentleman...'. The hypothesizing or preliminary interpretative acts do often, but not always, take on significance. While an analysis devoted to recording all the preliminary interpretative acts is, as I have just said, perfectly legitimate, it is at least arbitrary to regard such acts as being one and all significant. It is, of course, no less arbitrary to dismiss them one and all as being inconsequential. (It may be noted that, in stylistic analysis, frustration of the reader's expectations is quite often discussed, regarded as being of stylistic or thematic significance (Cluysenaar's analysis quoted at the beginning of this chapter is a case in point). This points to the fact that, in literary stylistics, an analysis often involves different levels of abstraction: from a discussion of the total meaning of the work to a detailed analysis of a linguistic feature or of an interpretative act.)
19. The 'similarity' or 'contrast' involved is of course actualized by the reader/analyst in the reading activity.
20. Fish's criticism of stylistics also covers two rather idiosyncratic modes of analysis: a) basing interpretation on the reading experiences of informants (Riffaterre) and b) applying Speech Act theory to literature (Ohmann). Because of their idiosyncrasies, these two modes have not been and shall not be discussed.
21. Fish seems to have changed his criteria of relevance in 'What is stylistics and why are they saying such terrible things about it?' (1973) where he says 'What I am suggesting is that an interpreting entity, endowed with purposes and concerns, is, by virtue of its very operation, determining what counts as the facts to be observed'. But on what criteria is this selectiveness based is left unstated.
22. The formal description may serve to refine, or to make more precise and



systematic, one's intuitive awareness of the relevant functions of the data.

## CHAPTER 4

1. The point is that the symbolic system need not have any natural relation with what is symbolized, though the two may sometimes coincide with each other (such as a similarity between natural order and syntactic order or pictographic characters).
2. Readers who are as yet uninitiated into the institution of literature or, put another way, who are as yet unfamiliar with the system of literary conventions are not in a position to produce acceptable interpretations.

## CHAPTER 5

1. A 'homologue' refers to a feature which corresponds to the original in form but not in function, while an 'analogue' stands for a feature which corresponds to the SL feature in function but not in form. The presence of the choice between the two, which is attributable to the differences in literary conventions and in the formal possibilities contained in the specific languages involved, often poses a dilemma to the translator (see Holmes, 1978:75).
2. 'The choice of blank verse instead of the rhymed couplet, for instance, confounds correspondence at the phonic level and makes correspondence on the endstop/enjambment axis for all practical purposes impossible.' (Holmes, 1978:76)
3. Notice the apparent difference between this kind of 'conceptual deviation' and another kind which occurs in characters' thoughts or in characters' mind-styles - as manifested in Lok's deviant ways of making sense of things in William Golding's The Inheritors (see Halliday, 1970; Leech & Short, 1981).
4. Although thought is often pre-verbal, its existence can only be made palpable by some verbal form.
5. It is understood that, in the authorial narrating discourse, there may be found a variety of voices or registers introduced typically through 'speech allusion', i.e., 'the selective imitation of a style of speech by the author' (Leech & Short, 1981:349-50; see also Bakhtin, 1981: 298ff.. For exemplification in Chinese, see the beginning of Lao She's Rickshaw Boy (Luotuo Xiangzi); see also the second example analysed in 6.3.).
6. In the case of a dramatized narrator in particular, if the narrator's viewpoint is found to be unreliable, it will be rejected by the reader. But the very unreliability here is in itself of aesthetic significance, playing an important role in characterizing the narrating consciousness.

## CHAPTER 6

1. (A): Hsien-yi Yang and Gladys Yang (trs.) Selected Works of Lu Hsun 1. Beijing: Foreign Languages Press, 1956; (B): Chi-chen Wang (tr.) Ah Q and Others:



Selected Stories of Lu Hsiang-shan. New York: Columbia Univ. Press, 1941.

2. This is followed by:

'Anyone who the name fits,' said Ah Q standing up, his hands on his hips.

'Are your bones itching?' demanded Whiskers Wang, standing up too and putting on his coat.

Thinking that Wang meant to run away, Ah Q stepped forward raising his fist to punch him. But before his fist came down, Whiskers Wang had already seized him and given him a tug which sent him staggering. Then Whiskers Wang seized Ah Q's pigtail and started dragging him towards the wall to knock his head in the time-honoured manner.

...(A.p.90)

3. (A) would have done better if it had preserved the original lexical choice 'valiant' (wuyong) which forms a direct contrast to 'timid' (danqie).
4. At least up until Beard Wang defeats Ah Q. What motivates this adaptation may be partly seen from the translator's introduction to this story:

Briefly, Ah Q is the personification of two of the most despicable traits in human nature: the tendency to rationalize things to our own supposed advantage and the cowardly habit of turning upon these weaker than ourselves after we have been abused by those stronger than we are. 'When a man of courage is outraged,' [the author] writes elsewhere, 'he draws his sword against an oppressor stronger than he. When a coward is outraged, he draws his sword against a man weaker than he. Among a race of hopeless cowards, there must be heroes who specialize in browbeating children.' This is Ah Q's way of being brave when he first picked on Wang the Beard, and then on little Don when he found that he could not even afford to be brave even with Wang. But Ah Q excels especially in his ability to turn defeat into victory by such processes of rationalization as imagining himself a poor father who has been beaten by an unfilial son.... (xxi)

It should be noted that, compared with Ah Q's conceit or 'psychological victory' (as manifested by his tendency to rationalize things to his own supposed advantage), Ah Q's cowardice is a relatively minor trait, which seems to be magnified by the translator, whose effort to make Beard Wang appear relatively weaker and more contemptible is perhaps motivated by a desire to highlight Ah Q's cowardice in terms of bullying the weak.

5. This takes place after the illiterate Ah Q is forced to sign a false confession which paves the way for his being executed as a scapegoat. So stupid as not even to know what he is doing, he tries with all his might to draw a perfect circle but ends up with a shape like a melon seed. While not being distressed about his imprisonment ('He supposed that in this world it was the fate of everybody at some time to be dragged in and out of prison' (A, p.131)), Ah Q is upset for having failed to draw a perfect circle. But...(see the translations).



6. (A) and (B) stand for the same two translations referred to in note 1.
7. In the original, the fourth one is not 'zi' but 'hua' which, however, can also be translated into 'words' in English.
8. Edgar Snow and Yao Hsin-nung (trs.) 'Benediction' in Edgar Snow (ed.). Living China: Modern Chinese Short Stories. London: George G. Harrap & Co. Ltd., 1936, pp51-74.
9. The effect is actually stronger in Lu than in (A) and (B) where the adjunct 'completely' is omitted, an adjunct which adds to the tension or seeming 'illogicality' involved.
10. (A): J.M.James (tr.) Rickshaw. by Lao She. Honolulu: University of Hawaii Press, 1979. (B): Evan King (tr.) Rickshaw Boy. London: Michael Joseph Ltd., 1946. (C): Xiaoqing Shi (tr.) Camel Xiangzi. Beijing: Foreign Languages Press, 1981.
11. Compare the following two translations:

(A) Matters seemed to have reached a very dangerous state, and he tried to think of a way out or some plan of action. But his thoughts were in a whirl, and he could not straighten them out. 'Queues, eh, queues? A huge eighteen-foot lance. Each generation is worse than the last! The emperor's ascended his throne. The broken bowl will have to be taken to town to be riveted. Who's a match for him? It's written in a book. Damn!...' (tr. by Hsien-yi Yang and Gladys Yang, 1956: 61)

(B) He knew that the situation was very critical, and he wished to think of some way out, some remedy, but his ideas were vague and disjointed and there was no way to connect them up. 'Queue, queue, how about the queue? ... Eighteen-foot snake spear ... Each generation worse than the last ... The Emperor upon his Dragon Throne ... The broken bowl must be taken to the city to be mended... Who can stand up against him?... It is clearly written in the book... His mother's ---' (tr. by Chi-chen Wang, 1941: 75)

This passage is translated from Lu Xun's 'A Disturbance' ('Fengbo'). In the original (as reflected in A), the warning of incoherence is given only lexically and only prior to the direct thought (DT). In (B) however, recurrent ellipses are inserted into the DT, which, as additional warning of the incoherence involved, dissipates the reader's remaining expectation of some connection between any two adjacent sentences and, as such, makes the textual gaps more natural and acceptable. Now, what is purported in (Lu) and (A) is a picture of one idea suddenly switching to another, with neither immediate connection nor transition in between. Through the quick and, in a sense, unexpected illogical mental jumps there is generated much tension or sense of urgency. The effect is quite different in (B) where, the intermittent ellipses, which serve as transition by way of warning, function to ease or dissipate the tension, consequently giving rise to a much laxer and smoother picture of the mind. It is true that, viewed in their own right, either could be treated as a representation of a mental state possible under such circumstances. But given that (B) is a translation, it is arguable that version (B) involves some loss of authentic intensity.



12. (A) translated by J.M.James; (B) translated by Xiaoqing Shi.
13. See note 1.
14. (A): Sidney Shapiro (tr.) Spring Silkworms and Other Stories. Beijing: Foreign Languages Press, 1956. (B): Chun-chan Yeh (tr.) Three Seasons, and Other Stories. London: Staples Press, 1946. (C): Chi-chen Wang (tr.) Contemporary Chinese Stories. New York: Columbia University Press, 1944.
15. However, the implied author, or, more frequently, the dramatized narrator may take on only a limited perspective and be as 'unprivileged' as the reader, a limitation that could readily help to generate the effect of suspense (see 8.5.3.).
- 16.

## MEDICINE

### I

It was autumn, in the small hours of the morning. The moon had gone down, but the sun had not yet risen, and the sky appeared a sheet of darkling blue. Apart from night-prowlers, all was asleep. Old Chuan suddenly sat up in bed. He struck a match and lit the grease-covered oil-lamp, which shed a ghostly light over the two rooms of the tea-house.

'Are you going, now, dad?' queried an old woman's voice. And from the small inner room a fit of coughing was heard.

'H'm.'

Old Chuan listened as he fastened his clothes, then stretching out his hand said, 'Let's have it.'

After some fumbling under the pillow his wife produced a packet of silver dollars which she handed over. Old Chuan pocketed it nervously, patted his pocket twice, then lighting a paper lantern and blowing out the lamp went into the inner room. A rustling was heard, and then more coughing. When all was quiet again, Old Chuan called softly: 'Son!... Don't you get up!... Your mother will see to the shop.'

Receiving no answer, Old Chuan assumed his son must be sound asleep again; so he went out into the street. In the darkness nothing could be seen but the grey roadway. The lantern light fell on his pacing feet. Here and there he came across dogs, but none of them barked... (tr. by A:29-30)

17. It is important to note that to empathize fully with the author, the translator may need to be emotionally involved, needing to love or hate the characters as the author does. What is argued against in this section is in fact the translator's emotional involvement as a reader versus as an imitator of the author (see the discussion below).
18. (A): translated by Hsien-yi Yang and Gladys Yang; (B): translated by David Hawkes; (C): translated by H.Bencraft Joly.
19. In what follows, the character Jia Yu-cun appears again in a favourable light, as a sagacious and an impressive figure. In chapter 4, after his reinstatement (see A), the character's treatment of a case of manslaughter is dramatized, where the



character figures quite dubiously. Then the character remains almost unseen from the narrative until more than forty chapters later when an incident, which bears on the character's 'ruthlessness', is briefly presented: an incident that does not appear in the first-line narrative but is brought out through a character's speech (see chapter 48; I shall come back to this). At the end of the narrative (from chapter 103), though, the character again figures prominently as he did at the beginning; but little reference is made to these derogatory qualities concerned. In fact, the character is brought in to serve a major structural role which, however, I deem unnecessary to go into here (see Lu Zheng-hui, 1981).

20. (A)'s 'in less than two years' instead of 'in less than one year' is due to a difference between the original versions (A is based on a manuscript version different from the one presented above).
21. In that hypothetical context, the term 'ambitious' would in itself have come closer to 'grasping' or 'cupidity'.
22. See note 1.
23. (A): translated by Hsien-yi Yang and Gladys Yang.
24. (B): translated by David Hawkes.
25. (B)'s subjective colouring is also reflected in its treatment of the sentence found in the immediately following context:

(Cao) Rujin Qin Bao liang ren laile,                      jianle ta liangge  
Now Qin and Bao had come to the school, seeing these two boys

ye bumian qianquan xianai ...  
they also could not help being attached to them and admiring them...

(B) When Qin Zhong and Bao-yu joined the school it was only to  
be expected that they too should fall under the spell of this  
charming pair...

(A) Pao-yu and Chin Chung were naturally attracted by these boys  
too...

26. This is of course more a matter of speech/thought presentation than a matter of lexis. But to avoid having to devote another section on reliability in Chapter Eight (which may involve repetition), I am treating it here.
27. (A): translated by Evan King. (B): translated by Jean M. James. (C): translated by Xiaoqing Shi.
28. Interestingly, Lao's following sentence of narrative report is translated by (A) into FIT:

(Lao) Lao touzi zen kang zhe yidui'er,                      zenbieniu!  
In whatever way the old man looked at the pair, in whatever way  
they appeared irritating (to him)!



- (A) How was it that the more he looked at this pair the more the sight irritated him?

(A)'s rendering the mode into FIT is not only reflected in its choice of the interrogative mood but also in its changing the descriptive phrase 'the old man' into the pronoun 'he' (cf. Banfield, 1982:209). It should also be noted that in Lao, the exclamation mark is at times used on the narrative plane and therefore somewhat looses its value in determining S/T.

29. (A): translated by Jean M. James. (B): translated by Evan King. (C): translated by Xiaoqing Shi.
30. (A) translated by Hsien-yi Yang and Gladys Yang; (B) translated by David Hawkes; (C) translated by H. Bencraft Joly.
31. The following passage depicts Granny Liu's perception of a pendulum clock, which appears in the closely following context:

Grannie Liu's attention was distracted by a persistent *tock tock tock tock* not unlike the sound made by a flour-bolting machine, and she could not forbear glancing round her from time to time to see where it came from. Presently she caught sight of a sort of boxlike object fastened to one of the central pillars of the room, and a thing like the weight of a steelyard hanging down from it, which swung to and fro in ceaseless motion and appeared to be the source of the noise which had distracted her. 'I wonder what that can be,' she thought to herself, 'and what it can be used for?' As she studied the strange box, it suddenly gave forth a loud *dong* ! ... (translated by David Hawkes, p.158)

32. The following underlined parts have been translated from Cao's 'fei bie chu ke bi' ('had no comparison elsewhere') and 'yu bie chu bu tong' ('were different from elsewhere') respectively:

(A) Peeping through the gauze panel which served as a window, she could see streets and buildings more rich and elegant and throngs of people more lively and numerous than she had ever seen in her life before. (tr. by David Hawkes, p.87)

(B) As she was carried into the city she peeped out through the gauze window of the chair at the bustle in the streets and the crowds of people, the like of which she had never seen before. (trs. by Hsien-yi Yang and Gladys Yang, p.35)

Given that the reflector is an inexperienced young girl, what underlies (A)'s choosing 'more...than she had ever seen...' instead of 'more...than elsewhere' and the similar choice made by (B) seems to be a desire to make clear the subjectivity involved.

33. (A) and (B) stand for the same two translations referred to in note 1.
34. It is understood that the use of language usually involves approximately 50% of



redundancy.

35. (A) translated by J.M.James; (B) translated by Xiaoqing Shi.
36. Due to some feeling such as 'since it took at least three or four years, one year or even two years seem to be short - that really makes it seem an extra long time'.
37. It should be noted that, in terms of encoding, there is a fundamental difference between the presentation of events and that of speech or thought. In the latter case, the novelist's task is, instead of encoding events into words, to record what is already verbal (see 8.5.). Seen in this light, whatever 'redundancy' there is, it is not the novelist's 'redundant' encoding, for that is just what the character says or thinks. Perhaps for this reason, here the entailed quantity or scalar predicates are more frequently preserved by the translators. It may also be noted that, in the area of S/T, the novelist's purpose in encoding the entailed quantity or scalar predicates is typically to imitate the process of **impromptu** S/T. The following sentence, also translated from Lao, is a case in point:

(A) Indeed, it was **impossible, really impossible**, to claim three live camels were only worth thirty-five dollars! (p.28)

Compare:

(B) Three big camels, alive and kicking, were **undoubtedly** worth more than thirty-five dollars. (p.36)  
(boldface mine)

Clearly, (B)'s alteration reduces the spontaneity and immediacy and, closely related to it, leads to a fall in emotional key.

## CHAPTER 7

1. (A) translated by David Hawkes; (B) translated by H. Bencraft Joly; (C) translated by Hsien-yi Yang and Gladys Yang.
2. In terms of the first clause, the difference found between (A) and (B) (C) comes largely from the difference between their original versions and it is therefore to be left aside.
3. Given the difference in the relevant linguistic conventions, the contrast between the two different renderings is more striking in English than in Chinese. Indeed, apart from the difference in terms of omitting structural elements, it would be clear from the examples we have seen and shall see that, in Chinese, the distinction between ',' and '.' or between ';' and '.' is less strict than in English.
4. It is understood that, in depicting two parallel situations, the second is not expected to be as elaborate as the first. What is relevant here is the strikingness of the contrast and the apparently indifferent authorial tone underlying the present description.
5. Interestingly, the repetition of 'after ... after ... after...', which is necessitated by the principles of English prose and which would be neither necessary nor permissible in



Chinese, only adds to the racy continuity carried by the 'circumstantial whole' and serves to underline the tone of expectedness : a matter of 'making a virtue of necessity'.

6. (A) translated by Hsien-yi Yang and Gladys Yang; (B) translated by David Hawkes.
7. In the Qi version of Cao upon which (A) is based, the third clause goes as follows: '*Feng Jie mang zhi Liu Laolao bubi shuole*' which can be interpreted either as 'Xifeng promptly interrupted Granny Liu: 'That's enough.' or as 'Xifeng promptly asked Granny Liu to say no more.' (see the discussion of 'Blend' in chapter 8).
8. Whether we take it as 'rhetorical' or 'psychological' depends on whether we are focusing on the means (which is rhetorical) or on the effect (which is psychological): rhetoric functions by way of producing psychological effects.
9. (A) translated by David Hawkes; (B) translated by Hsien-yi Yang and Gladys Yang.
10. See note 9.
11. These two actions, which are repeated by Granny Liu after entering the Mansion, are here receiving the first mention.
12. It is clear that the first clause in Cao - the mental process of not daring to go over - is incorporated by (B) in the preceding clause through the lexical choice of 'overawed'.
13. (A): Hsien-yi Yang and Gladys Yang (trs.) Selected Works of Lu Hsun 1. Beijing: Foreign Languages Press, 1956; (B): Chi-chen Wang (tr.) Ah Q and Others: Selected Stories of Lusin. New York: Columbia University Press, 1941.
14. A better way out may be found in the use of '-' instead of ':'. For the former seems to function to preserve Lu's progression better than the latter.
15. (B)'s readiness to tighten up the syntactic structure is also reflected in its incorporating 'her eyes sparkled with their childlike innocence', which originally forms part of the preceding graphic sentence (see A), into the present sentence.
16. Notice the difference obtained when (A) and (B) are changed according to the 'ideal' form:

(A) Feeling my surroundings pressing in on me, I hurried out to the middle of the courtyard. There was darkness all around me. Bright lamplight showed on the window paper of the central rooms...

(B) I felt oppressed and rushed out into the courtyard. There was darkness around me. The landlady's room was bright...

17. In Chinese, a premodifying element, be it an adjective or a rankshifted clause, is usually followed by the modifier sign 'de', which may be translated in English into the possessive sign.
18. (A): Sidney Shapiro (tr.) Spring Silkworms and Other Stories. Beijing: Foreign Languages Press, 1956. (B): Chi-chen Wang (tr.) Contemporary Chinese Stories. New York: Columbia University Press, 1944. (C): Chun-chan Yeh (tr.) Three Seasons, and Other Stories. London: Staples Press, 1946.







Apparently, the repetition of '*bu ken*' ('was unwilling') is more automatized or conventionalized in Chinese than in English, which makes a strict reproduction in English take on extra or redundant emphasis. For this reason, the adaptation made by the translations is seen to be necessary. As a matter of fact, in coordinate parallelism, sometimes whole clauses are found which merely seem to have, at most, an elaborative function. If such elaboration or, in a sense, repetition is more or less attributable to SL conventions which TL does not share, a strict reproduction in TL is likely to make appear motivated what is in effect originally automatized. The consequence arising from this is of course most likely to be, again, extra or redundant emphasis. A case in point goes as follows:

(Cao) ... hekuang jin zhi qijia, dou yao bubu liuxin,  
 ... let alone now going to her home, must every step be careful,  
 shishi zaiyi, buyao duo shuo yijuhua,  
 every moment be on guard, must not redundantly make one remark,  
 buke duo xing yibulu, kong bei ren chixiaole qu (p.26)  
 should not redundantly walk one step, in case by others laughed at

(A) ... When she arrived at their house she would have to watch every step she took and weigh every word she said, for if she put a foot wrong they would surely laugh her to scorn. (p.87)

(B) ... She must watch her step in her new home, she decided, be on guard every moment and weigh every word, so as not to be laughed at for any foolish blunder. (p.35)

In Cao, the four clauses ('must every step...one step') can be boiled down to '[she] must be careful about [her] behaviour', a concept which is, at least by extension, conveyed by the first clause, the rest merely seeming to have an elaborative function and the second in particular seeming to form a repetition. This parallel patterning (in two strictly corresponding pairs) is based on certain of Chinese linguistic and literary conventions which are not, at least not fully, shared by English. Thus what is very natural in Chinese appears monotonous and overly emphatic in English. It is therefore not surprising that, of the four clauses, two are omitted in (A) and one in (B), an omission that seems not only justifiable but also necessary.

29. Notice the cross patterning in Lao: the premodifier in the first clause is parallel with that in the third while the premodifier in the second clause is parallel with that in the fourth.
30. A full stop is actually required after 'dust'; and the causal relation needs to be spelt out in a form like 'This made Xiangzi want to ...'.
31. (A): translated by J.M. James; (B): translated by Xiaoqing Shi.
32. It should be noted that the foregone description (see Lao, p.177) inclines one to adopt the former interpretation whereas the more immediate context (see the parenthesis in A) slants one towards the latter.



33. It is no accident that, in this clause, a causal relation is imposed on 'glumness' and 'happiness'. What underlies this subversion of the selectional rule involved is clearly an attempt to bring 'happiness' subtly towards the unhappy side.
34. (A) would, I believe, have done better if 'be (or become) happy' had been used in place of 'cheer himself up' since lexical identity helps to achieve the effect referred to.

## CHAPTER 8

1. For exemplification, see for instance Page, 1973:31, 34; McDowell, 1973; Ch. Jones, 1968; Leech & Short, 1981:330; also Cao, 1979:284; W.Zhou, 1979:50; Ba, 1954:111; Mao, 1966:300.
2. According to Banfield, if embeddable expressive lexical items, like 'bloody' in the present case, occur in indirect speech, 'the attitude they express is ascribed to the speaker of the entire E and not to the quoted speaker' (p.55). This point holds good for an interactive communicative context; and in narrative in particular, holds good for a context in which the quoting speaker is in himself a character or a dramatized narrator. But, as far as I can see, it does not apply to the narrative context in which the quoting speaker is an impersonal authorial narrator since the quoting speaker as such is unlikely to call a train in the fictional world 'bloody' or to call a character 'the idiot of a doctor' or 'a peach of a girl' (compare Banfield, pp.52-7). If the authorial narrator reports:

John said that the idiot of a doctor was impossible.

'the idiot of a doctor' can only be said, in such a narrative context, to express the point of view of the character John as opposed to the authorial narrator. Given the following two sentences:

- (a) The far right claimed that Comrade Neruda was an enemy of the state. (from Banfield, p.56)
- (b) The left claimed that Comrade Neruda was a potential saviour of the state.

sentence (a) is unlikely to occur in a narrative context as such, unless the authorial narrator wants to show himself to be a communist (cf. Banfield, p.56). And if sentence (b) appears in such a context, the authorial narrator is not committed to the epithet 'comrade'.

3. Apparently, sentence (a) is impossible to be reported by an impersonal authorial narrator, who could, however, report (b).
4. In NRSA, the quoted SELF is, more frequently than in IS, suppressed. But even here, the quoted SELF may come into play. Given the following sentence:



He kept complaining about the bloody train.

if reported by an authorial narrator who is understood to be unlikely to call the train 'bloody', the epithet 'bloody' cannot but be expressive of the subjectivity of the quoted speaker. In the mode of DS, as the quoted SA is reproduced, the quoting SELF is naturally left no room to function. In FIS, the quoted SELF is usually preserved and the quoting SELF suppressed since the expressive elements and constructions of the quoted SA are usually 'represented' and the present time deictics preserved (which is made possible or natural by the suppression of subordination). But, at least hypothetically, the quoting narrator could, in many cases, play an interpretative role (a role which is excluded from DS). Compare:

- (a) He would come back there to see her again tomorrow.
- (b) He would return there to see her again the following day.  
(both from Leech & Short, 1981:325)

Compare:

- (c) He said that he would return there to see her again the following day.

In the latter sentence of FIS, the quoted SELF is suppressed, up to a point, by the quoting SELF. If in the first sentence, NOW (the present time deictic(s) or the moment of the original SA) is, as in FIS in general, cotermporal with the past tense (cf. Banfield 1982), in the second sentence, the NOW is, as in IS, suppressed. It seems worth noting that, given the twofold speech model referred to above, in every reporting mode, there are potentially two points of reference with respect to time (and of course also with respect to place): one is the moment of the original speech act; and the other the moment of the reporting speech act (which does not come into the reproduced DS). The NOW of the moment of the original SA is of course distinct from the PRESENT of the reporting SA. In FIS, if the tense of the original SA is shifted to the past according to the moment of the reporting SA, while the present time deictics of the original SA are, for the sake of immediacy or expressiveness, preserved, the moment of the original SA is made to be cotermporal with PAST. The point to note is that the cotermporality of NOW and PAST as such (which is basically a function of shifting the tense into the past without similarly shifting the present time deictics) could also occur in IS. A case in point is the following sentence from Cao's A Dream of Red Chamber (Honglou Meng):

Baoyu zi zheri jianle Jia Yun, ceng shuoguo ming ri zhao ta  
Baoyu on that day had seen Jia Yun and had said that he could

jin lai shuo hua (chapter 24, p.284; see also ch. 9, p.111)  
come in for a chat tomorrow.

In such a sentence of indirect speech, NOW (the present time deictics of the



original SA) is, as in FIS in general, cotemporal with PAST.

5. Owing to the story-telling and dramatic tradition, in a classical Chinese novel an utterance is normally reported verbatim (especially when preceded by the reporting verb 'yue' or 'dao' ('say')). But in many cases, instead of being indicated by formal linguistic criteria, this is simply left for the reader to sense. It should be noted that after the introduction of the modified Western punctuation system in 1920, classical Chinese novels have gradually been re-punctuated. So in their modern editions, DS and IS are clearly marked off from each other by quotation marks.
6. Such as the following writers of modern fiction who have already been referred to: Mao Dun, Lao She and Lu Xun.
7. I am referring here to the type of FDS which differs from DS only in terms of being free from quotation marks (cf. Leech & Short, 1981: 10.1.2 (9)).
8. In the former case, by 'counterpart' I refer to utterances composed of nominal or adverbial phrases or interjections (compare Page, 1973:37-8), which can be readily transferred from Chinese into English without losing their ambiguity. In the latter case, since the tense and pronoun selection are appropriate to either, there is no choice involved. The same applies to the reverse process of translating from English into Chinese.
9. McHale goes on, in the same place, to say, 'though of course with the reservation that this "purity" is a novelistic illusion; all novelistic dialogue is conventionalized or stylized to some degree...' (cf. Quirk, 1976:266-7; Page, 1973:3-22).
10. Referred to as (A) (B) (C) respectively: (A) David Hawkes (tr.) The Story of the Stone, Penguin, 1973; (B) Yang Hsienyi and Gladys Yang (tr.) A Dream of Red Chamber, Beijing: Foreign Languages Press, 1978; (C) H.Bencraft Joly (tr.) Hung Lou Meng, Hongkong, 1892, 93.
11. The following reporting verbs, apart from a few others, were used: 'wendao' (ask or inquire), 'daying dao' (answer or reply or respond), 'jiaodao' (cry or shout or exclaim), 'baoyuan dao' (complain or grumble).
12. If 'dao' is preceded by another reporting verb, such as 'baoyuan dao', it is not counted, but with the exception of 'shuodao'.
13. Perhaps as a natural development, in modern Chinese, the reporting verb not only becomes more specific but also is more often accompanied by adjuncts that indicate paralinguistic qualities such as pitch, volume or intonation (e.g. 'er yu' (whisper), 'qiaoqiaode shuo' (say on the quiet), 'qinsheng shuo' (say in a low voice)).
14. See (A), p.289; (B), p.200. This, however, does not apply to (C) where formal reporting verbs are lavishly used (not surprising for a translation done in 1892).
15. See McHale, 1978:252; also Quirk *et al*, 1972: 11.73. The reporting clause is also called 'locutionary clause' (cf. Leech & Short, 1981:322).
16. I am referring here to that type of FDS which differs from DS only in terms of being free from the reporting clause (see Leech & Short, 1981:322 (10)).
17. See for instance Walter Scott, The Heart of Midlothian, London: The Daily News, 1901, p.301,311; also Jane Austen, Pride and Prejudice which presents frequent omission of the reporting clause.



18. But as the mode slips into FIT, impulsiveness is reduced. This is most manifestly reflected in the deletion of Cao's '!', which forms a contrast to the additions that precede. As a result, the emotive force in (A) falls heavily on 'astonishment' (which seems to occupy a place on the linguistic scale over and above 'greatly surprised' or the modified 'quite taken aback') and on the two exclamations, which, both by virtue of their respectively heightened emotive force and by virtue of mutual intensification, give rise to greater dramatic impact than the already highly dramatized original. Nevertheless, owing to the mitigation offered by the following FIT which is 'uncoloured', over-dramatization is avoided.
19. But one usually finds long paragraphs which are normally subdivided by the translations.
20. In Cao's translations, a similar case occurs where the paragraph division serves to indicate the change of addressee (see (A):272-4; (B):187-8). It may be interesting to compare such division with the principle of "participant orientation" - that is, the unity of a paragraph derives from its being mainly about a single participant' (cf. Brown & Yule, 1983:96).
21. It is also arguable that paragraphing is just another 'literary' feature of Tom Jones where speech is, on occasion, metrical (making up lines of blank verse) or is found with ornate poetic diction, and so on. Or alternatively, one may say that, as a verbal will, the speech here is made to follow the convention of the written will in terms of paragraphing.
22. If the embedded narrative is told from a third-person point of view, there may be little lexical, syntactic or graphological contrast to the primary speech situation (if also in the third person). The same applies to the embedded impersonal expository speech. For third-person narrative speech, see for instance (A): 53, 74-5; for impersonal expository speech, see for instance (A): 76-80 (where the speech indicators such as 'I might cite' and the transitional adjunct 'now' are added by the translator, which also serve to remind the reader that it is the character's voice).
23. It follows that if the purpose is precisely to bring out the wearisome prolixity of the speech, paragraph division is better to be avoided.
24. cf. Ullmann, 1957:116; McDowell, 1973:94.
25. In the scene toward the beginning of Fielding's Joseph Andrews (see McDowell, 1973:86).
26. For the sake of economy, I use 'a character's DS' in place of the more explicit expression 'the direct mode/form accorded by the narrator to the speech of a character'. The same applies to similar expressions in what follows.
27. In Virginia Woolf's Mrs Dalloway (see Leech & Short, 1981:335).
28. See Leech & Short, 1981:326.
29. See also Charles Jones' discussion (1968) of Conrad's variation in modes of speech as a means of emphasizing the dominance or submissiveness of his characters in The Secret Agent, where the variation is made either on a local scale (e.g. in the interview between Vladimir and Verloc) or over a sustained period (the contrast between the (F)DS of Mrs Verloc, the more positive character and the IS of Mr Verloc, the submissive one. And then after the death of Stevie, the reverse contrast



between the DS of Mr Verloc who now takes over his wife's dominating role and the IS of Mrs Verloc).

30. The reverse does not however necessarily hold. It is, for example, quite natural to say:

He murmured in her ear, 'It's really nice.'

He said to her in a low voice, 'It's really nice.'

where the inverted commas do not seem to affect the weak volume.

31. See the cline of the narrator's interference illustrated in 8.3.4..
32. 'That same moment Hsi-feng emerged with a throng of attendants. Knowing her weakness for flattery and ceremonial, Chia Yun stepped forward respectfully, saluted her with great deference, and inquired after her health.' (tr. by B).
33. The effect seems to be more notable in (B) where the speech act is reduced to the position of a participial clause and is therefore made psychologically less prominent.
34. 'Not daring to go straight up, she first dusted down her clothes and rehearsed Ban-er's little repertoire of phrases before sidling up to one of the side entrances. A number of important-looking gentlemen sat in the gateway sunning their bellies and discoursing with animated gestures on a wide variety of topics.' (tr. by A)
35. The choice of the contrastive modes is not made by (C) which preserves Cao's DS in all the three cases just mentioned (see (C): 370, 93, 52).
36. In what follows, one will find in (B) a full correspondence to Cao's DS (p.92), but in (A) only a partial correspondence, for (A) chooses to background the beginning of the speech as a means of highlighting the rest of the speech:

(B) Then he let loose a flood of abuse in which even Chia Chen was included.

'Let me go to the Ancestral Temple and weep for my old master,' he fumed. 'Little did he expect to beget such degenerates, a houseful of rutting dogs and bitches in heat, day in and day out scratching in the ashes and carrying on with younger brothers-in-law. Don't you think you can fool me. I only tried to hide the broken arm in your sleeve...'

(A) By now even Cousin Zhen was being included in his maledictions, which became wilder and noisier as he shouted to his captors that he wanted to go to the ancestral temple and weep before the tablet of his old Master.

'Who would ever have believed the Old Master could spawn this filthy lot of animals?' he bawled. 'Up to their dirty little tricks every day. / know. Father-in-law pokes in the ashes. Auntie has it off with nevvvy. Do you think I don't know what you're all up to? Oh, we "hide our broken arm in our sleeve"...'

It seems that the beginning of (A)'s DS is made, by contrast with what precedes, more striking than its counterpart in (B).

37. 'Wang furen zhi tajia bu nan yuci, sui yi cong qi zibian.' ('Lady Wang knew that



this presented no difficulty for the Xue family, and therefore gave her ready consent.')

38. (C) ... she therefore, there and then, expressed her sense of appreciation and accepted the invitation. She further told Madame Wang in clear terms, that every kind of daily expense and general contribution would have to be entirely avoided and withdrawn as that would be the only thing to justify her to make any protracted stay. (p.68)
39. (C) ... The servants at this stage announced to Madame Wang that Hsi Jen's elder brother, Hua Tzu-fang, was outside, and reported to her that he had entered the city to say that his mother was lying in bed dangerously ill, and that she was so longing to see her daughter that he had come to beg for the favour of taking Hsi Jen home on a visit. (II, p.429)
40. We may note that despite the superficial similarity, the DS in (A) is in fact more immediate and vivid than its counterpart in the original. For the embedded indirect report in Cao (' "...has sent in word that his mother was..."') is rendered by (A) either into a direct report (' "His mother is seriously ill..."') or into a mixture of the two modes (' "He asks if, as a special kindness, you will allow..."'). The second-person pronoun 'you', though appearing in an indirect mode, only reinforces the dramatic effect. What one finds in (A) is then a version which well succeeds in getting rid of the abruptness while preserving immediacy.
41. A similar case goes as follows:

(i) (Cao) Zao you Jia mu nabiande ren lai wen: 'Shi zenmele?'  
 Already someone had arrived from Grandmother Jia and asked:  
 'What's the matter?' (p.104)

- (A) By this time someone had arrived from Grandmother Jia's room to inquire what all the noise was about. (p.198)
- (B) ...a maid arrived from his grandmother to ask the reason for noise. (p.129)
- (C) A waiting-maid sent by dowager lady Chia came in, meanwhile, to ask what was the matter. (p.133)

See also the following case where the speaker is neither spelt out nor retrievable from the context. The means that the translators use to cope with this 'obscurity' is, apart from the indirect mode, either impersonization (in another sense, personification - see A) or passivization (see B and C; see also Cao:176, A:306, B:213, C:224):

(ii) (Cao) Yu-cun shang wei kan wan, hu wen chuandian,  
 Before Yu-cun had finished reading, suddenly heard a chime,

bao: 'Wang laoye lai bai.' (p.44)  
 () announced: 'Mr. Wang has come to pay a call.'

(A) Before Yu-cun had time to read further, a warning chime from the



inner gate and a shout outside the door announced the arrival of a Mr Wang on an official call. (p.112)

(B) Before Yu-tsun could finish the list, a chime sounded at the gate and a certain Mr. Wang was announced. (p.56)

(C) Scarcely had Yu-ts'un done reading, when suddenly was heard the announcement, communicated by the beating of gong, that Mr. Wang had come to pay his respects.

42. The following is translated from Cao's chapter 3, which forms a telling example of the positive use of the speaker's obscurity:

She had scarcely finished speaking when someone could be heard talking and laughing in a very loud voice in the inner courtyard behind them.

'Oh, dear! I'm late,' said the voice. 'I've missed the arrival of our guest.'

'Everyone else around here seems to go about with bated breath,' thought Dai-yu. 'Who can this new arrival be who is so brash and unmannerly?'

Even as she wondered, a beautiful young woman entered from the room behind the one they were sitting in, surrounded by a bevy of serving women and maids. She was dressed quite differently from the others present, gleaming like some fairy princess with sparkling jewels and gay embroideries... (tr. by A:90-1; a similar treatment in B:38, C:40-1. See also Cao:323, A:II,38-9, B:399-400, C:II,46-7 / Cao:297-8, A:504, B:369, C:II,15)

43. See for instance Cao:182 - A:315, B:220, C:234 / Cao:49 - A:121, B:64 / Cao:166 - A:291 / Cao:123 - B:148, C:156 / Cao:167 - B:202, C:214.

44. See for instance Cao:28 - A:90, B:37-8, C:40 / Cao:29 - A:91, C:41.

45. See for instance Cao:78 - A:164, B:99, C:103 / Cao:39 - A:105, B:50 / Cao:40 - A:106 / Cao:43 - B:55 / Cao:165 - C:211.

46. For exceptions, where in order to achieve certain dramatic effect the immediacy and impact of DS is required, see for instance Cao:174 - A:303, B:211 or Cao:77 - A:163, B:98, C:102.

47. The authorial narrator's commentary that appears in between reinforces the suspense by way of insinuating the possibly strong effect of the 'inflammatory remarks'.

48. Put differently, in spite of the intermediate authorial narrator's commentary, the reader is given the impression that the presentation of Jia Qiang's speech is closely followed by the presentation of Ming-yan's action.

49. Just as (C) does, (A) renders the beginning of Cao's DS into NRSA ('Jia Qiang told him how Jokey Jin had been bullying Qin Zhong'). Although derived from the former, the latter, with the manner adjunct 'how', has a potentially wider coverage than one single remark. It could then be taken as being co-referential with 'whispered a few inflammatory words' and could therefore leave the following DS to pass off as new information, that is, as a continuation of the scene rather than an



expository 're-presentation'.

50. It should be mentioned that the limitation of the Chinese blend to S/T is also in keeping with the decoding process. The Chinese reader normally adopts a retrospective point of view in processing a fiction. Even if certain parts of the narrative are truly tenseless, with no time adverbials or whatever, he tends to treat them as on a par with the rest of the narration rather than take them as if they were happening 'now'. But any piece of S/T integrated into the narrative will immediately strike the reader as possibly being actual words spoken so long as it can be put into quotation marks. It follows that to translate the tenseless straightforward narration etc. into the past tense does not necessarily entail the loss of immediacy and vividness, a loss that will be involved if a blend (present/past) of S/T is specified as being in the past tense.
51. These include a few cases that start in the mode of IS (or IS/FDS) then slip into the blend of FIS/FDS. It should be noted that this is frequently seen in Chinese where there is no subordinator to indicate parallel subordination.
52. The narrator is emotively involved in this story where the exclamation mark is sometimes used on the narrative plane and therefore somewhat loses its value in determining S/T.
53. The FIT in the following case is translated from a blend of FIT/FDT in Mao Dun's 'The Shop of the Lin Family'. It seems the case that the thought act in question, which is marked by impulsiveness, could have been better presented by the mode of FDT:

Mr. Lin's heart gave a leap. He stood stock-still and glared, speechless. Miss Lin held the piece of silk in her hand and giggled. Four dollars and twenty cents! It wasn't a big sum, but the shop only did sixteen dollars worth of business all day, and really at cost price! Mr. Lin stood frozen, then asked weakly... (tr. by Shapiro, p.126)

54. (A): Hsien-yi Yang and Gladys Yang (trs.) 'The True Story of Ah Q' in Hsien-yi Yang and Gladys Yang (trs.) Selected Works of Lu Hsun, Beijing, 1956, I: 76-135. Version (B): Chi-chen Wang (tr.) 'Our Story of Ah Q' in Chi-chen Wang (tr.) Ah Q and Others, New York: Columbia Univ. Press, 1941, pp.77-129.
55. It may be of interest to note that Cao's translation (A) sometimes uses explicit means to bring out the implicit blend of the direct form and the indirect form in the Chinese original, for example:

Feng Su... would grumble to all and sundry about 'incompetents' and 'people who liked their food but were too lazy to work for it' (p.63, trans. from Cao, p.11)

here the character's voice is signalled explicitly by the inverted commas, while the narrator's voice can still be clearly detected in the past tense employed within the inverted commas.



56. The following versions (outside the brackets) are derived from a blend (NR/FIT/FDT) in Lu's 'The True Story of Ah Q' (pp.91-2):

(A) (One warm day, when a balmy breeze seemed to give some foretaste of summer, Ah Q actually began to feel cold;) but he could put up with this - his greatest worry was an empty stomach. His cotton quilt, felt hat and shirt had disappeared long ago, and after that he had sold his padded jacket. Now nothing was left but his trousers, and these of course he could not take off. He had a ragged lined jacket, it is true; but this was certainly worthless, unless he gave it away to be made into shoe soles. (He had long been hoping to pick up a sum of money on the road...)

(B) (One day it was very warm; the caressing breeze had with it a suggestion of summer. In spite of this, Ah Q felt chilly.) This he could bear, but his hunger was more difficult. His quilt, felt cap, and shirt had gone long before; more recently he had sold his padded winter coat. He could not possibly sell the trousers he had on, though they were his; nor would his tattered lined shirt bring anything - it was only good to be given away, or to be cut up and glued together for soles. (He dreamed of picking up some money on the street...)

(A) and (B) stand for the same two translations as referred to in note 54. The style chosen by (B) seems more formal and neutral than that chosen by (A) - both in terms of lexis (notice A's colloquial and interpersonal 'of course', 'it is true', 'certainly') and syntax (compare B's '...though..., nor...' with A's looser '..., and...'). The more neutral style of (B) seems to incline one to take the mode as authorial statement while the more colloquial style of (A) may leads one to take the mode as a blend of NR/FIT which is more in line with Lu's blend where the style is 'coloured' by the character's thought.

57. (B): 'He paced helplessly up and down the hall, wishing someone would carry the news to the inner apartments; but it so happened that nobody was about - even Pei-ming had disappeared.' (p.481)

58. See Hernadi, 1972:193-4; Rimmon-Kenan, 1983:110-3; also, McHale, 1978:252ff.; Gregory, 1966:43; Pascal, 1977:8-10; Ullmann, 1957:96-7; Page 1973:36-7.

59. And which are therefore possibly only relevant to the translator(s) of the particular text(s) concerned.

60. This is based on the larger assumption of mimesis or on the concept of what Ron calls mimetic language game (see Ron, 1981; Rimmon-Kenan, 1983:114; also Banfield, 1982:216-7).

61. Leech and Short note that 'Although the use of FIS normally involves some kind of distancing, there are occasions when it does not. These are usually situations where the preceding context has used even more indirect forms, and where the introduction of FIS is perceived against this localized norm as a movement towards directness' (1981:336). While agreeing to this contention, I would like to add that under such circumstances, the use of FIS still has the distancing effect **relative to** the use of DS or FDS.



62. See Leech & Short, 1981:326-7; Rimmon-Kenan, 1983:114; McHale, 1978:279; Hernadi, 1972:194; Pascal, 1977:26 & 45. It is true that IS also has a distancing effect but, unlike FIS, it tends to tone down the incongruity by virtue of a neutral reporting style.
63. See also Jones, 1968; Ullmann, 1957:98; Mcdowell, 1973; Pascal, 1977:55. Perhaps the irony of register is more characteristic of coloured IS. McHale's 'FID' refers to both types of speech.
64. The conjunction 'or' indicates the indistinguishability between (or ambiguity concerning) the two voices.
65. Radio newscast, January 19, 1956: quoted from Schuelke, 1958:92.
66. Joseph Conrad The Secret Agent. (cf. Jones 1968:171).
67. It should be noted that in the Qi version of Cao that (B) translates, the FDT/FIT in question is presented through the mode of authorial statement. The lexical difference in clauses 3, 4 and 5 is very little: the volitional 'douyao' ('must') at the beginning of 4 is changed into the logical 'yinci' ('therefore'), leaving, in this particular context, no room for thought presentation: 'let alone going to her home, (she was) therefore careful at every step, (and was) on guard every moment'. Since this different version involves certain illogicality, the difference may be ascribed to a misinterpretation that results from the ambiguity in the transitional clause 3 and from the unobtrusiveness of the slipping. It seems no accident that (B) abandons the consistent authorial statement in the Qi version and conveys instead the slipping in question which appears in some other versions of Cao.
68. A change accompanied by an explanatory addition.
69. But as the thoughts are strikingly marked off from the narrative plane, Cao's subtlety is to a great extent lost.
70. Due to the limitation of space, the fourth slipping, which specifies 'sorrowful', is omitted.
71. This stylistic device has to do both with the Chinese story-teller's inclination to imitate the character's speech (cf. 8.4.23) and with the marked tendency to use parallelism in Chinese language.
72. As we can see, before the reader reaches the first clear signal for the contrast ('I'), another full warning - the bracketed reporting clause - is given.
73. If the meaning of the nouns were specified, the 'because' in question would appear much more out of place:

*Her Happiness :                      or    She was happy :                      or    Happiness assailed her :*

Because after all (she thought) I wasn't mistaken in my judgement of you...

The specification apparently makes for the revelation of the secret collaboration. It may further be noted that if the reporting clause '(she thought)' had not been added, and if Cao's 'him' had not been replaced by 'you', the reader would possibly be given the impression that the narrator and the character were taking turns to report, as follows:



Narrator: *Happiness* (she was happy):

Character: Because after all I wasn't mistaken in my judgement of him. I always thought of him as a true friend...

(both in the primary discourse situation)

It may be worth noting that the non-modified 'happiness' etc. not only help (A) with the 'play on modes' but also share with their Chinese counterparts the merit of not involving any switch in person or tense. They do seem to be the best option in English.

74. One can test this point by inserting the term 'fact' into (B):

She was delighted to know [the fact that] she had not misjudged him, for he had now proved just as understanding as she had always thought. Surprised [at the fact] that he had been so indiscreet as to acknowledge his preference for her openly.

The two modal verbs 'ought' and 'should' also seem too weak to turn the mode of the final adverbial clause ('because their mutual understanding...') into that of thought-presentation (see note 75). We may note that the fairly neutral reporting style lends itself to changing the thoughts into 'facts'. Notice the difference obtained if idiolectal colouring is brought in:

She was delighted to know **after all** she had not...

or:

Delight, at having **indeed** been so correct... (cf. C)

75. In terms of being consistent in mode with what precedes, 'because their mutual understanding ought to...' is perhaps better to be taken as authorial statement (versus the character's thought), as another way of saying 'because their mutual understanding failed to preclude...and Bao-chai rather than she had...'. In this case, it does not form an integral part of 'distressed' but forms its cause that exists prior to the emotive state.

76. In 2 and 3 where the 'he' is found, the FDT presents a monologue, with the role of addressee taken by Daiyu, the addresser. When it comes to 4 (still a monologue) in which the 'you' turns up, the role of addressee is accorded to Bao-yu: the previous object of comment ('he') and the present absent interlocutor ('you').

77. Given the mode of FDT chosen by (A), the switch in question can be put across without difficulty. (A)'s consistent use of the second person 'you' is, I believe, due to a personal preference for the deviant conversational thought form which presents a gain in immediacy, in verbal articulation and, not least, in emotionality. But one needs to be aware that this deviant form in Cao achieves particular prominence and striking effect only by standing out against the more objective, placid thoughts that



precede. And this contrast is seen to be functional and important. In (A), not only is this contrast lost, the consistent use of the deviant 'you' might also lead to the false inference that such use is more or less conventionalized in Chinese (when such rare slippings occur): an inference that could be backed up by the overall deviation or artificiality found in (A). This false inference, once drawn, may detract from the effect of the deviant mode.

## BIBLIOGRAPHY

PRIMARY SOURCES

- Austen, Jane. Pride and Prejudice. Penguin, 1972.
- Ba, Jin. The Family (Jia). Beijing: People's Literature Press, 1954.
- Cao, Xueqin. A Dream of Red Chamber (Honglou Meng). 4 vols. Beijing: People's Literature Press, 1979.
- Cao, Xueqin. The Story of the Stone: Prefaced by Qi Liaosheng (Qi Liaosheng Xuben Shitou Ji) vols. 1 to 3. Beijing: People's Literature Press, 1975.
- Dong, Liu, (tr.). Pride and Prejudice by Jane Austen. Taipei: Dadong Publishing Company.
- Fielding, Henry. Tom Jones. Penguin, 1966.
- Fowles, John. The Collectors. London: Pan Books Ltd., 1963.
- Hawkes, David, (tr.). The Story of the Stone by Cao Xueqin. 5 vols. Penguin, 1973.
- Hemingway, Ernest. 'A Very Short Story', in In Our Time. New York: C. Scribner's Sons, 1955, 83-5.
- James, Jean M. (tr.). Rickshaw by Lao She. Honolulu: University of Hawaii Press, 1979.
- Joly, H. Bencraft, (tr.). Hung Lou Meng by Cao Xueqin. 2 vols. Hong Kong, 1892, 1893.
- King, Evan, (tr.). Rickshaw Boy by Lao She. London: Michael Joseph Ltd., 1964.
- Lao, She. Rickshaw Boy (Luotuo Xiangzi). Beijing: People's Literature Press, 1978.
- Lu, Xun. The Complete Works of Lu Xun (Lu Xun Quanj). vols. 1-2. Beijing: People's Literature Press, 1963.
- Mao, Dun. Selected Works of Mao Dun (Mao Dun Wenji) vol. 7. Hong Kong: Contemporary Book Publishing Company, 1966.
- Mao, Dun. Midnight (Ziye). Beijing: People's Literature Press, 1977.
- Shapiro, S. (tr.). Spring Silkworms and Other Stories by Mao Dun. Peking: Foreign Languages Press, 1956.
- Shi, Xiaoqing, (tr.). Camel Xiangzi by Lao She. Beijing: Foreign Languages Press, 1981.
- Snow, Edgar, (compiled & ed.). Living China: Modern Chinese Short Stories. London: George G. Harrap & Co. Ltd., 1936.
- Snow, Edgar and Yao Hsin-nung (trs.). 'Benediction' in Edgar Snow (1936),



51-74.

- Wang, Chi-chen, (tr.). Ah Q and Others: Selected Stories of Lusin. New York: Columbia Univ. Press, 1941.
- Wang, Chi-chen, (tr.). 'Spring Silkworms' by Mao Dun, in Chi-chen Wang (tr.) Contemporary Chinese Stories. New York: Columbia Univ. Press, 1944, 143-158.
- Wang, Keyi, (tr.). Pride and Prejudice by Jane Austen. Hong Kong: Zhongliu Publishing Company, 1969.
- Yang, Hsien-yi and Yang, Gladys, (trs.). Selected Works of Lu Hsun vol. 1. Peking: Foreign Languages Press, 1956.
- Yang, Hsienyi and Yang, Gladys, (trs.). A Dream of Red Mansions by Cao Xueqin. 3 vols. Beijing: Foreign Languages Press, 1978.
- Yeh, Chun-chan, (tr.). 'Spring Silkworms' by Mao Dun, in Yeh Chun-chan (tr.) Three Seasons and Other Stories. London: Staples Press Ltd., 1946, 9-26.
- Zhou, Wen. Selected and Annotated Stories by Lu Xun (Lu Xun Xiaoshuo Xuan Zhu). Hong Kong: Shanghai Book Co. Ltd., 1979.

#### SECONDARY SOURCES

- Adams, R. Proteus, His Lies, His Truth: Discussions on Literary Translation. New York: W.H.Norton, 1973.
- Allen, J.P.B. and Corder, S.Pit. (eds.). The Edinburgh Course in Applied Linguistics Vol 3: Techniques in Applied Linguistics. London: Oxford Univ. Press, 1974.
- Allen, W. 'Narrative distance, tone, and character', in J. Halperin (1974), 323-337.
- Arrowsmith, W. and Shattuck, R. (eds.). The Craft and Context of Translation. Austin, Texas: Univ. of Texas Press, 1961.
- Attridge, D. The Rhythms of English Poetry. London & New York: Longman, 1982.
- Austin, J.L. How to Do Things with Words. London: Oxford Univ. Press, 1962.
- Bachtin, N. 'English Poetry in Greek: notes on a comparative study of poetic idioms', in The Link (1938-39) 1:77-84; 2:49-63.
- Bakhtin, M. Problems of Dostoevsky's Poetics. (tr.) by R.W.Rotsel. U.S.A.: Ardis, 1973.
- Bakhtin, M. 'The word in the novel'. (tr.) by A. Shukman in E.S. Shaffer (1980), 213-220.
- Bakhtin, M. The Dialogic Imagination. Austin & London: Univ. of Texas Press,

1981, 259-422.

Bailey, R.W. 'Stylistics today', in Foundations of Language 2 (1974), 115-139.

Banfield, A. 'Narrative style and the grammar of direct and indirect speech', in Foundations of Language 10 (1973), 1-39.

Banfield, A. Unspeakable Sentences: Narration and Representation in the Language of Fiction. Boston: Routledge & Kegan Paul, 1982.

Barthes, R. 'Style and its image', in S.Chatman (1971), 3-15.

Bassnett-McGuire, S. Translation Studies. London & New York: Methuen & Co. Ltd., 1980.

Beaugrande, R. de. Factors in a Theory of Poetic Translating. The Netherlands: Van Gorcum, 1978.

Berninghausen, J. 'Mao Dun's Fiction, 1927-1936: the standpoint and style of his realism'. Unpublished Ph.D. dissertation, Stanford University, 1979.

Bernstein, B. 'Social class, language and socialisation', in P.P. Giglioli (ed.) Language and Social Context. Penguin, 1972, 157-178.

Berry, M. Introduction to Systemic Linguistics. 2 vols. London: Batsford, 1975.

Bolinger, D. Language - the Loaded Weapon. London: Longman, 1980.

Booth, A.D. et al. Aspects of Translation. London: Secker & Warburg, 1958.

Booth, W.C. The Rhetoric of Fiction. Chicago & London: Chicago Univ. Press, 1961.

Booth, W.C. 'Distance and point-of-view - an essay in classification', in P. Stevick (1967), 87-107.

Booth, W.C. A Rhetoric of Irony. Chicago & London: Chicago Univ. Press, 1974.

Boulton, M. The Anatomy of the Novel. London & Boston: Routledge & Kegan Paul, 1975.

Brislin, R.W. (ed.). Translation: Applications and Research. New York: Gardener Press, Inc., 1976.

Brislin, R.W. 'Introduction' to R.W. Brislin (1976), 1-43.

Brook, G.L. The Language of Dickens. London: Deutsch, 1970.

Broeck, R. van den. 'The concept of equivalence in translation theory: some critical reflections' in J.S. Holmes, J. Lambert & R. van den Broeck (1978), 29-47.

Brower, R.A. (ed.). On Translation. New York: Oxford Univ. Press, reprinted, 1966.

Brower, R.A. 'Seven Agamemnons' in R.A.Brower (1966), 173-195.



- Brown, E.K. and Miller, J.E. Syntax: A Linguistic Introduction to Sentence Structure. London: Hutchinson, 1980.
- Brown, G. and Yule, G. Discourse Analysis. Cambridge: Cambridge Univ. Press, 1983.
- Burgess, A. Joysprick: An Introduction to the Language of James Joyce. (1973). London: Andre Deutsch, second impression, 1979.
- Burton, D. Dialogue and Discourse: A Sociolinguistic Approach to Modern Drama Dialogue and Naturally Occurring Conversation. London & Boston: Routledge & Kegan Paul, 1980.
- Burton, D. 'Through glass darkly: through dark glasses', in R.Carter (1982), 195-214.
- Cantrall, W.R. 'The artistic use of seeming contradiction', in B.Kachru & H.W.Stahlke (1972), 217-230.
- Carne-Ross, D.S. 'Translation and transposition', in W.Arrowsmith & R.Shattuck (1961), 3-21.
- Carter, R. (ed.). Language and Literature: An Introductory Reader in Stylistics. London: George Allen & Unwin, 1982.
- Carter, R. 'Style and interpretation in Hemingway's "Cat in the Rain"', in R. Carter (1982), 65-80.
- Carter, R. and Burton, D. (eds.). Literary Text and Language Study. London: Edward Arnold, 1982.
- Casparis, C.P. Tense Without Time: The Present Tense in Narration. Bern: Francke, 1975.
- Catford, J.C. A Linguistic Theory of Translation. London: Oxford Univ. Press, 1965.
- Chapman, R. Linguistics and Literature. London: Edward Arnold, 1973.
- Chapman, R. The Language of English Literature. London: Edward Arnold, 1982.
- Chatman, S. 'Milton's participial style', in PMLA 83 (1968), 1386-99.
- Chatman, S. (ed.). Literary Style: A Symposium. Oxford Univ. Press, 1971.
- Chatman, S. 'The structure of narrative transmission', in R. Fowler (ed.) Style and Structure in Literature. Oxford: Basil Blackwell, 1975, 213-257.
- Chatman, S. Story and Discourse: Narrative Structure in Fiction and Film. Ithaca & London: Cornell Univ. Press, 1978.
- Chatman, S. and Levin, S.R. (eds.). Essays on the Language of Literature. Boston: Houghton Mifflin Company, 1967.
- Chen, Wenbo. 'Understanding and Expressing' in Fanyi Tongxun (Translators' Notes) 2 (1982): 1-5; 3 (1982): 6-11.

- Cheng, R.L.W. Some Aspects of Mandarin Syntax. Unpublished Ph.D. dissertation, Indiana University, 1966.
- Chomsky, N. Syntactic Structures. The Hague: Mouton, 1957.
- Cluysenaar, A. Introduction to Literary Stylistics. London: B.T.Batsford Ltd., 1976.
- Cohn, D. Transparent Minds: Narrative Modes for Presenting Consciousness in Fiction. Princeton: Princeton Univ. Press, 1978.
- Crystal, D. and Davy, D. Investigating English Style. London: Longman, 1969.
- Cuddon, J.A. A Dictionary of Literary Terms. United States: Doubleday & Company, Inc., reprinted, 1982.
- Culler, J. Structuralist Poetics. London: Routledge & Kegan Paul, 1975.
- Culler, J. On Deconstruction. New York: Cornell Univ. Press, 1982.
- Cummings, M. and Simmons, R. The Language of Literature. Oxford: Pergamon Press, 1983.
- Darbyshire, A.E. A Grammar of Style. (1971). London: Andre Deutsch, reprinted, 1979.
- Davie, D. Articulate Energy: An Inquiry into the Syntax of English Poetry. London: Routledge & Kegan Paul, 1955.
- van Dijk, T.A. (ed.). Pragmatics of Language and Literature, North-Holland Studies in Theoretical Poetics, vol. 2. Amsterdam: North-Holland, 1976.
- van Dijk, T.A. Text and Context: Explorations in the Semantics and Pragmatics of Discourse. London: Longman, reprinted, 1980.
- Dillon, G. L. Constructing Texts. Bloomington: Indiana Univ. Press, 1981.
- Duff, A. The Third Language: Recurrent Problems of Translating into English. Oxford: Pergamon Press, 1981.
- Empson, W. Seven Types of Ambiguity. London: Chatto & Windus, 1949.
- Enkvist, N.E. 'On defining style' in Enkvist, N.E., Spencer, J., and Gregory, M.J. (1964), 1-56.
- Enkvist, N.E. Linguistic Stylistics. The Hague & Paris: Mouton, 1973.
- Enkvist, N.E., Spencer, J., and Gregory, M.J. Linguistics and Style. Oxford Univ. Press, 1964.
- Epstein, E.L. 'The self-reflexive artefact: the function of mimesis in an approach to a theory of value for literature' in R. Fowler (1975), 40-78. Reprinted in D.C. Freeman (1981), 166-199.
- Epstein, E.L. Language and Style. London: Methuen, 1978.
- Erlich, V. Russian Formalism -- History-Doctrine. The Hague: Mouton, 1969.



- Fang, A. 'Some reflections on the difficulty of translation' in R.A. Brower (1966), 111-133.
- Fanyi Tongxun (Translators' Notes). Beijing: Chinese International Translating & Publishing Company.
- Fillmore, C.J. 'The case for case', in E.Bach and R.Harms (eds.) Universals in Linguistic Theory. New York: Holt, Rinehart Winston, 1968, 1-88.
- Fish, S. 'Literature in the reader: affective stylistics' in New Literary History 2 (Autumn, 1970), 123-62.
- Fish, S. Self-Consuming Artifacts: The Experience of Seventeenth-Century Literature. Berkeley: Univ. of California Press, 1972.
- Fish, S. 'What is stylistics and why are they saying such terrible things about it?' in S.Chatman (ed.) Approaches to Poetics. New York: Columbia Univ. Press, 1973. Reprinted in D.C.Freeman (1981), 53-78.
- Fish, S. Is There a Text in This Class?. Harvard Univ. Press, 1980.
- Fowler, R. (ed.). Essays on Style and Language. London: Routledge & Kegan Paul, 1966.
- Fowler, R. The Languages of Literature. London: Routledge & Kegan Paul, 1971.
- Fowler, R. (ed.). Style and Structure in Literature. Oxford: Basil Blackwell, 1975.
- Fowler, R. Linguistics and the Novel. London: Methuen & Co. Ltd., 1977.
- Fowler, R. Literature as Social Discourse: The Practice of Linguistic Criticism. London: Batsford Academic & Educational Ltd., 1981.
- Fowler, R. Linguistic Criticism. Oxford & New York: Oxford Univ. Press, 1986.
- Francis, W.N. 'Syntax and Literary interpretation', in S.Chatman & S.Levin (1967), 209-216.
- Freeman, D.C. Linguistics and Literary Style. New York: Holt, Rinehart & Winston, 1970.
- Freeman, D.C. 'Literature', in H.D. Brown and R. Wardhaugh (eds.) A Survey of Applied Linguistics. Ann Arbor: Univ. of Michigan Press, 1976, 229-249.
- Freeman, D.C. (ed.). Essays in Modern Stylistics. London & New York: Methuen, 1981.
- Friedman, M. Stream of Consciousness: A Study in Literary Method. New Haven: Yale Univ. Press.
- Friedman, N. 'Point of view in fiction: the development of a critical concept', in Philip Stevick (1967), 108-137.
- Fu, Yi-chi. Comparative Structures in English and Mandarin Chinese. Unpublished Ph.D. dissertation, Univ. of Michigan, 1978.

- Garvin, P.L. (ed. & tr.). A Prague School Reader on Esthetics, Literary Structure and Style. (1958). Washington D.C.: Georgetown Univ. Press, reprinted, 1964.
- Genette, G. Narrative Discourse. Oxford: Basil Blackwell, 1980.
- Goldknopf, D. The Life of the Novel. Chicago & London: Chicago Univ. Press, 1972.
- Goodman, P. Structure of Literature. Chicago: Chicago Univ. Press, 1954.
- Graham, J.F. 'Theory for translation', in M.G.Rose (1981), 23-30.
- Gray, B. Style: The Problem and Its Solution. The Hague: Mouton, 1969.
- Gregory, M. 'Old Bailey speech in A Tale of Two Cities', in A Review of English Literature 6 (1965), 42-55.
- Gregory, M. 'Aspects of varieties differentiation', in Journal of Linguistics 3 (1967), 177-198.
- Gregory, M. and Carroll, S. Language and Situation. London: Routledge & Kegan Paul, 1978.
- Halliday, M.A.K. 'Grammatical categories in modern Chinese', in Transactions of the Philological Society. 1956, 177-224.
- Halliday, M.A.K. The Language of the Chinese 'Secret History of the Mongols'. Oxford: Basil Blackwell, 1959.
- Halliday, M.A.K. 'Categories of the theory of grammar', in Word 17 (1961), 241-292.
- Halliday, M.A.K. 'Descriptive linguistics in literary studies', in M.A.K. Halliday & A. McIntosh. Patterns of Language, Papers in General, Descriptive and Applied Linguistics. London: Longman, 1966, 56-69.
- Halliday, M.A.K. 'The linguistic study of literary texts', in S.Chatman & S.R. Levin (1967), 217-223.
- Halliday, M.A.K. 'Notes on transitivity and theme in English: Part I', in Journal of Linguistics 3 (1967), 37-82.
- Halliday, M.A.K. 'Notes on transitivity and theme in English: Part II', in Journal of Linguistics 3 (1968), 199-244.
- Halliday, M.A.K. 'Language structure and language function', in J. Lyons (1970), 140-65.
- Halliday, M.A.K. 'Linguistic function and literary style: an inquiry into the language of William Golding's The Inheritors', in S. Chatman (1971), 330-365.
- Halliday, M.A.K. Explorations in the Functions of Language. London: Edward Arnold, 1973.



- Halliday, M.A.K. System and Function in Language; selected papers Ed. by G.R.Kress. London: Oxford Univ. Press, 1976.
- Halliday, M.A.K. 'Modes of meaning and modes of expression: types of grammatical structure, and their determination by different semantic functions', in D.J.Allerton, E.Carney & D.Holdcroft (eds.) Function and Context in Linguistic Analysis. Cambridge Univ. Press, 1979, 57-80.
- Halliday, M.A.K. and Hasan, R. Cohesion in English. London: Longman, 1976.
- Halperin, J. (ed.). The Theory of the Novel: New Essays. Oxford Univ. Press, 1974.
- Han, Shengming. 'On the problem of style in literary translation', in Fanyi Tongxun (Translators' Notes) 4 (1984), 15-19.
- Hasan, R. 'Rime and reason in literature', in S. Chatman (1971), 299-329.
- Hawkes, T. Structuralism and Semiotics. London: Methuen, 1977.
- Hayes, C.W. 'A study in prose style: Edward Gibbon and Ernest Hemingway', in D.C. Freeman (1970), 279-296.
- Hernadi, P. 'Free indirect discourse and related techniques' appendix to P. Hernadi. Beyond Genre: New Directions in Literary Classification. Ithaca & London: Cornell Univ. Press, 1972, 187-205.
- Hirsch, E.D. The Aims of Interpretation. Chicago: Chicago Univ. Press, 1976.
- Hollander, J. 'Versions, interpretations, and performances', in E.A.Brower (1966), 205-231.
- Holmes, J.S. (ed.). The Nature of Translation. The Hague: Slovak Academy of Science, 1970.
- Holmes, J.S. 'Forms of verse translation and the translation of verse form', in J.S. Holmes (1970), 91-105.
- Holmes, J.S. 'Describing literary translation: models and methods', in J.S. Holmes, J.Lambert & R. van den Rroeck (1978), 69-82.
- Holmes, J.S., Lambert, J. & Broeck, R. van den (eds.). Literature and Translation. Leuven: acco (academic publishing company), 1978.
- Honglou Meng Xinlun (New Critical Essays on Honglou Meng). P.R. of China: Heilong Jiang People's Publishing Company, 1982.
- Hönnighausen, L. "'Point of view" and its background in intellectual history', in E.S. Shaffer (1980), 151-166.
- Hough, G. Style and Stylistics. London: Routledge & Kegan Paul, 1969.
- Hough, G. 'Narrative and dialogue in Jane Austen', in Critical Quarterly 12: 3 (1970), 201-229.
- Huang, Jiade. (ed.). Essays on Translation (Fanyi Lun Ji). Shanghai: West Wind

Company, 1940.

Huddleston, R. An Introduction to English Transformational Syntax. London: Longman, 1976.

Hurford, J. and Heasley, B. Semantics: A Coursebook. Cambridge: Cambridge Univ. Press, 1983.

Iser, W. The Act of Reading: a theory of aesthetic response. London: Longman, 1978.

Jakobson, R. 'Closing statement: linguistics and poetics', in T.A. Sebeok (1961), 350-377.

Jakobson, R. 'On linguistic aspects of translation', in R.A. Rorer (ed.) On Translation. New York: Oxford Univ. Press, reprinted, 1966.

Jiang, Hesen. 'The artistic traits and achievements of Honglou Meng', in Honglou Meng Xinlun. 1982, 1-38.

Jones, C. 'Varieties of speech presentation in Conrad's "The Secret Agent"', in Lingua 20 (1968), 162-76.

Juhl, P.D. 'Stanley Fish's interpretive communities and the status of critical interpretation', in E.S. Shaffer (1983), 47-58.

Kachru, B.B. and Stahlke, F.W. (eds.). Current Trends in Stylistics. Champaign, Illinois, and Edmonton, Alberta: Champaign Linguistic Research Inc., 1972.

Kelly, L.G. The True Interpreter. Oxford: Basil Blackwell, 1979.

Kennedy, C. 'Systemic grammar and its use in literary analysis', in R. Carter (1982), 83-99.

Keyser, S.J. 'Wallace Stevens: form and meaning in four poems', in D.C. Freeman (1981), 100-122.

Knox, N. The Word Irony and Its Context, 1500-1755. Durham, North Carolina: Duke Univ. Press, 1961, 123-30.

Kroeber, K. Styles in Fictional Structure. Princeton: Princeton Univ. Press, 1971.

Leavis, F.R. The Great Tradition. London: Chatto & Windus, 1948.

Lee, A.Y. A Contrastive Semantics of Mandarin Chinese and American English. Unpublished Ph.D. dissertation, Florida State University, 1977.

Leech, G.N. "'This bread I break": language and interpretation', in A Review of English Literature 6, no. 2 (1965), 66-75; reprinted in D.C. Freeman (1970), 119-28.

Leech, G.N. English in Advertising: a linguistic study of advertising in Great Britain. London: Longman, 1966.

Leech, G.N. A Linguistic Guide to English Poetry. London: Longman, 1969.



- Leech, G.N. Meaning and the English Verb. Essex: Longman, 1971.
- Leech G.N. Semantics. London: Harmondsworth, Penguin, 1974.
- Leech, G.N. Principles of Pragmatics. London & New York: Longman, 1983.
- Leech G.N. and Short, M. Style in Fiction: A Linguistic Introduction to English Fictional Prose. London & New York: Longman, 1981.
- Leech, G.N. and Svartvik, J. A Communicative Grammar of English. London: Longman, 1975.
- Lefevere, A. Translating Poetry, Seven Strategies and a Blueprint. Amsterdam: Van Gorcum, 1975.
- Lefevere, A. 'Beyond the process: literary translation in literature and literary theory', in M.G. Rose (1981), 52-59.
- Leggett, H.W. The Idea in Fiction. London: George Allen & Unwin Ltd., 1934.
- Levin, S.R. 'Poetry and grammaticalness' in S.Chatman and S.R.Levin (1967), 224-230.
- Levinson, S.C. Pragmatics. Cambridge: Cambridge Univ. Press, 1983.
- Liu, Jinzhi. (ed.) Essays on Translation (Fanyi Lun Ji). Hong Kong: Joint Publishing Co., 1981.
- Lodge, D. Language of Fiction. New York: Columbia Univ. Press, 1966.
- Lodge, D. The Modes of Modern Writing. London: Edward Arnold, 1977.
- Lu, Dianyong. Translation: Its Principles and Technique. Peking: The Epoch Publishing Company, 1959.
- Lu, Shuxian. Comparisons of English Translations of Chinese Poems (Zhong Shi Ying Yi Bi Lu). Shanghai: Foreign Languages Press, 1980.
- Lu, Zhenghui, 'Zhen Shiyin and Jia Yucun', in Hu Wenbin and Zhou Lei (eds.) Essays on Honglou Meng from Taiwan. Tien Jin: Bai Hua Publishing Company, 1981.
- Lutwack, L. 'Mixed and uniform prose styles in the novel', in P. Stevick (1967), 208-219.
- Lyons, J. Introduction to Theoretical Linguistics. Cambridge: Cambridge Univ. Press, 1968.
- Lyons, J. (ed.) New Horizons in Linguistics. London: Harmondsworth, Penguin, 1970.
- Lyons, J. Semantics. 2 vols. Cambridge: Cambridge Univ. Press, 1977.
- Lyons, J. 'Pronouns of address in Anna Karenina: the stylistics of bilingualism and the impossibility of translation', in S. Greenbaum et al (eds.) Studies in English Linguistics - for Randolph Quirk. London: Longman, 1980,

235-249.

- Macleod, N. 'This familiar regressive series: aspects of style in the novels of Kingsley Amis', in A.J.Aitken et al (eds.) Edinburgh Studies in English and Scots. London: Longman, 1971, 121-143.
- Macleod, N. 'The stylistic analysis of poetic texts: Owen's "Futility" and Davie's "The Garden Party" ', in J. Anderson (ed.) Language Form and Linguistic Variation. Amsterdam: John Benjamins B.V., 1982.
- Macleod, N. "'This strange, rather sad story": the reflexive design of Graham Greene's The Third Man', in Dalhousie Review 63 (1983), 217-241.
- Macleod, N. 'How to talk about prose style: an example from Golding's Lord of the Flies', in Revista Canaria de Estudios Ingleses 10 (April, 1985), 119-140.
- Malla, K.P. A Study of Contemporary Models of Stylistic Analysis, Literary and Linguistic, and their Pedagogic Relevance. Unpublished Ph.D. dissertation, Univ. of Edinburgh, 1974.
- Mason, M. 'Deixis: a point of entry to Little Dorrit', in R. Carter (1982), 28-38.
- McDowell, A. 'Fielding's rendering of speech in Joseph Andrews and Tom Jones', in Language and Style 6 (1973), 83-96.
- McHale, B. 'Free indirect discourse: a survey of recent accounts', in Poetics and the Theory of Literature 3 (1978), 249-87.
- Milic, L.T. A Quantitative Approach to the Style of Jonathan Swift. The Hague: Mouton, 1967.
- Milic, L.T. 'Rhetorical choice and stylistic option: the conscious and unconscious poles', in S.Chatman (1971), 77-88.
- Morgan, B.Q. 'Bibliography: 46 B.C. - 1958', in R.A.Brower (1966), 271-293.
- Muecke, D.C. Irony and the Ironic. London & New York: Methuen, 1970.
- Mukařovský, J. 'Standard language and poetic language', in P.L. Garvin (1964), 17-30. Reprinted in D.C.Freeman (1970), 40-56.
- Nash, N. 'Lawrence's "Odour of Chrysanthemums"', in R. Carter (1982), 101-120.
- Newmark, P. Approaches to Translation. Oxford: Pergamon Press, 1981.
- Nida, E.A. Towards a Science of Translating. Leiden: Brill, 1964.
- Nida, E.A. 'A framework for the analysis and evaluation of theories of translation', in R.W. Brislin (1976), 47-91.
- Nida, E.A. and Taber, C.R. The Theory and Practice of Translation. Leiden: Brill, 1969.
- Nida, E.A. et al. Style and Discourse. Bible Society, 1983.



- Oettinger, A.G. 'Automatic translation', in R.A.Brower (1966), 240-267.
- Ohmann, R. 'Generative grammar and the concept of literary style', in Word 20 (1964), 423-39; reprinted in D.C. Freeman (1970), 258-78.
- Ohmann, R. 'Literature as sentences', in College English 27 (1966), 261-267.
- Ohmann, R. 'Prolegomena to the analysis of prose style', in P. Stevick (1967), 190-208.
- Ohmann, R. 'Speech, action and style', in S.Chatman (1971), 241-54.
- Ohmann, R. 'Speech, literature and the space between', in D.C. Freeman (1981), 361-376.
- Olshewsky, T.M. (ed.). Problems in the Philosophy of Language. New York: Holt, Rinehart & Winston, 1969.
- Osgood, C.E. 'Some effects of motivation on style of encoding', in A. Sebeok (1960), 293-306.
- Page, N. 'Categories of speech in Persuasion', in Modern Languages Review 64 (1969), 734-41.
- Page, N. The Language of Jane Austen. Oxford: Oxford Univ. Press, 1972.
- Page, N. Speech in the English Novel. London: Longman, 1973.
- Palmer, F.R. The English Verb. London: Longman, 1974.
- Pascal, R. The Dual Voice: Free indirect speech and its functioning in the nineteenth-century European novel. Manchester: Manchester Univ. Press, 1977.
- Pearce, R. Literary Texts, Discourse Analysis Monographs no. 3. Birmingham: University of Birmingham, English Language Research, 1977.
- Perry, M. 'Literary dynamics: how the order of a text creates its meaning', in Poetics Today 1:1 (1979), 35-64 and 311-361.
- Popovič, A. 'The concept "shift of expression" in translation analysis', in J.S. Holmes (1970), 78-87.
- Postgate, J.P. Translation and Translations. London: G.Bell & Sons, Ltd., 1922.
- Pratt, M.L. Towards a Speech Act Theory of Literary Discourse. Bloomington: Indiana Univ. Press, 1977.
- Prince, G. Narratology: The Form and Functioning of Narrative. Berlin & New York: Mouton, 1982.
- Procházka, V. 'Notes on translating technique', in P.L. Garvin (1964), 93-112.
- Quirk, R. The Use of English. London: Longman, 1962.
- Quirk, R. et al. A Grammar of Contemporary English. London: Longman, 1972.

- Quirk, R. and Greenbaum, S. A University Grammar of English. London: Longman, 1973.
- Rabin, C. 'The linguistics of translation', in A.D. Booth (1958), 123–145.
- Radford, A. Transformational Syntax. Cambridge: Cambridge Univ. Press, 1981.
- Raffel, B. The Forked Tongue. The Hague: Mouton, 1971.
- Rahv, P. 'Fiction and the criticism of fiction', in The Kenyon Review 18 (Winter, 1956), 276–299.
- Ray, L. 'Multi-dimension translation: poetry', in R.W. Brislin (1976), 261–278.
- Richards, I.A. Practical Criticism. London: Kegan Paul, 1929.
- Richards, I.A. 'Towards a theory of translating', in T.M. Olszewsky (1969), 490–504.
- Rieu, E.V. 'Translation', in Cassell's Encyclopedia of Literature, vol. 1. London: Cassell, 1953, 554–9.
- Riffaterre, M. 'Criteria for style analysis', in Word 15 (1959), 154–174.
- Rimmon-Kenan, S. Narrative Fiction: Contemporary Poetics. London & New York: Methuen, 1983.
- Rodger, A. 'Linguistics and the teaching of literature', in H. Fraser & W.R. O'Donnell (eds.) Applied Linguistics and the Teaching of English. London: Longman, 1969, 88–98.
- Rodger, A. "'O where are you going?'" a suggested experiment in classroom stylistics', in R. Carter (1982), 123–161.
- Ron, M. 'Free indirect discourse, mimetic language games and the subject of fiction', in Poetics Today 2:2 (1981), 17–39.
- Rose, M.G. (ed.). Translation Spectrum: Essays in Theory and Practice. Albany: State Univ. of New York Press, 1981.
- Rose, M.G. 'Introduction: time and space in the translation process', in M.G. Rose (1981), 1–7.
- Rose, M.G. 'Translation types and conventions', in M.G. Rose (1981), 31–40.
- Ross, S.D. 'Translation and similarity', in M.G. Rose (1981), 8–22.
- Sager, J.C. 'Observations on translation specification', in Newsletter of the Translators' Guild Ltd. Winter, 1981.
- Savory, T. The Art of Translation. London: Jonathan Cape, 1957. New and enlarged edition, 1968.
- Schorer, M. 'Technique as discovery', in P. Stevick (1967), 65–84.
- Scholes, R. and Kellogg, R. The Nature of Narrative. London: Oxford Univ. Press, 1966.



- Schuelke, G.L. "'Slipping" in indirect discourse', in American Speech 33 (1958), 90-8.
- Searle, J.R. Speech Acts. Cambridge: Cambridge Univ. Press, 1969.
- Sebeok, T.A. (ed.). Style in Language. Cambridge and Mass.: MIT Press, 1960.
- Shaffer, E.S. (ed.). Comparative Criticism: A Yearbook. Cambridge: Cambridge Univ. Press, first vol. 1979.
- Shen, Baoji and Sun, Heng. 'How to deal with long sentences in literary translation', in Fanyi Tongxun (Translators' Notes) 2 (1984), 21-3.
- Shen, Dan. 'Fidelity versus pragmatism', in Babel, 1985, 134-7.
- Short, M.H. "'Prelude" to a literary linguistic stylistics', in R. Carter (1982), 55-62.
- Short, M.H. 'Stylistics and the teaching of literature: with an example from James Joyce's A Portrait of the Artist as a Young Man', in R. Carter (1982), 179-192.
- Shukman, A. Literature and Semiotics. Amsterdam: North-Holland, 1977.
- Sinclair, J.McH. 'Taking a poem to pieces', in R.Fowler (1966), 68-81.
- Sinclair, J.McH. 'A technique of stylistic description', in Language and Style, vol. 1, no. 4 (fall, 1968), 215-242.
- Sinclair, J.McH. 'Lines about "Lines"', in R. Carter (1982), 163-176.
- Song, Qi. 'Some tentative comments on the latest translation of Honglou Meng', in Ming Pao Monthly, no.4 - no.12 (1975), Hong Kong.
- Steiner, G. After Babel: Aspects of Language and Translation. London: Oxford Univ. Press, 1975.
- Steiner, T.R. English Translation Theory. Assen and Amsterdam: Van Gorcum, 1975.
- Stevick, P. (ed.). The Theory of the Novel. New York: The Free Press, 1967.
- Tan, Tsai-hsi. Aspects of Translation Theory and Practice: with illustrations from Mao's Vol. V. Unpublished M.A. dissertation, Univ. of Exeter, 1980.
- Thorne, J.P. 'Stylistics and generative grammars', in Journal of Linguistics 1 (1965), 49-59.
- Thorne, J.P. 'Poetry, stylistics and imaginary grammars', in Journal of Linguistics 5 (1969), 147-150.
- Thorne, J.P. 'Generative grammar and stylistic analysis', in J. Lyons (1970), 185-97.
- Thorne, J.P. 'The grammar of jealousy: a note on the character of Leontes', in A.J. Aitken et al (eds.) Edinburgh Studies in English and Scots. London: Longman, 1971, 55-65.

- Todorov, T. 'The place of style in the structure of the text', in S. Chatman (1971), 29-44.
- Toury, G. 'The nature and role of norms in literary translation', in J.S. Holmes, J.Lambert & R. van den Rroeck (1978), 83-100.
- Toury, G. 'Translation, literary translation and pseudotranslation', in E.S. Shaffer (1984), 73-85.
- Traugott, E.C. and Pratt, M.L. Linguistics for Students of Literature. New York: Harcourt Brace Jovanovich, Inc., 1980.
- Turner, G.W. Stylistics. Harmondsworth: Penguin, reprinted, 1975.
- Tytler, A.F. Essays on the Principles of Translation. London: J.M.Dent & Co., 1797.
- Ullmann, S. Style in the French Novel. Cambridge: Cambridge Univ. Press, 1957.
- Ullmann, S. 'Style and personality', in A Review of English Literature 6 (April, 1965), 21-31.
- Ullmann, S. Language and Style. Oxford: Blackwell, 1964.
- Ullmann, S. Meaning and Style. Oxford: Blackwell, 1973.
- Ure, J., Rodger, A. and Ellis, J. 'Somn: Sleep', in Babel 1 (1969).
- Vachek, J. The Linguistic School of Prague. Bloomington & London: Indiana Univ. Press, 1966.
- Wang, Shiqing. An Investigation of Lu Xun's Creative Path. Beijing: Chinese Social Science Publishing Company, 1981.
- Wang, Xijie. On Chinese Rhetoric. Beijing: Beijing Publishing Company, 1983.
- Wang, Xiyan. On Ah Q and His Tragedy. Shanghai: New Literature and Art Publishing Company, 1957.
- Wang, Zhuoliang. Essays on English Stylistics. Beijing: Foreign Languages Teaching and Study, 1980.
- Watt, I. The Rise of the Novel. Great Britain: Cox & Wyman Ltd., 1957.
- Weakland, J.H. 'Lusin's "Ah Q": A rejected image of Chinese character', in Pacific Spectator 10 (1956), 137-146.
- Wellek, R. 'Stylistics, poetics, and criticism', in S. Chatman (1971), 65-76.
- Wells, R. 'Nominal and verbal style', in A. Sebeok (1960), 213-220.
- Wetherill, P.M. The Literary Text: An Examination of Critical Methods. Oxford: Basil Blackwell, 1974.
- Whitehall, H. 'From linguistics to criticism', in Kenyon Review 13 (Autumn, 1951), 710-714.



- Widdowson, H.G. 'Stylistic analysis and literary interpretation', in Use of English vol. 24, no.1 (1972a), 28-33.
- Widdowson, H.G. 'On the deviance of literary discourse', in Style vol. 6, no. 3 (1972b), 294-308.
- Widdowson, H.G. 'Stylistics', in J.P.B. Allen and S.Pit. Corder (1974), 202-231.
- Widdowson, H.G. Stylistics and the Teaching of Literature. London: Longman, 1975.
- Widdowson, H.G. 'The conditional presence of Mr. Bleaney', in R. Carter (1982), 19-26.
- Widdowson, H.G. 'Othello in person', in R. Carter (1982), 41-52.
- Wilss, W. 'Methodological aspects of the translation process', in AILA Bulletin, 2 (1982), 1-13.
- Winter, W. 'Translatability and synonymy', in T.M. Olszewsky (1969), 460-464.
- Winter, W. 'Impossibilities of translation', in T.M. Olszewsky (1969), 477-490.
- Wong, T.C. 'Bao-yu as lover: an exercise in cultural translation', in Journal of the Chinese Language Teachers Association 14:1 (1979), 5-17.
- Yacobi, T. 'Fictional reliability as a communicative problem', in Poetics Today 2:2 (1981), 113-126.
- Yang, W. and Mao, N. (eds.). Modern Chinese Fiction: A Guide to Its Study and Appreciation. Boston, Mass.: G.K.Hall & Co., 1981.
- You, Guoen et al. The History of Chinese Literature. Beijing: People's Literature Publishing Company, 1964.
- Zhang, Peiji et al. A Course in Chinese-English Translation. Shanghai: Shanghai Foreign Language Education Press, 1980.
- Zhou, Zhongming. The Artistry of the Language of *Honglou Meng* P.R.C.: Lijiang Publishing Company, 1981.
- Zhu, Chunshen. "'Motif" and literary translation', in Chinese Translators Journal 3 (May, 1986), 39-41.