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**A Systemic Approach to Translating Style:
A Comparative Study of Four Chinese Translations
of Hemingway's *The Old Man and the Sea***

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Abstract

The visibility of translators in translated texts has been increasingly recognised, yet research on the translator's voice and the methodological issues concerned has remained sparse. Corpus-based methods allow only limited access to the motivation of the translator's choices, and need to be complemented by other research tools to form a coherent methodology for investigating a translator's style.

The thesis adopts an interdisciplinary approach, combining systemic linguistics and corpus studies with sociohistorical research within a descriptive framework to study the translator's discursive presence in the text. This approach is as yet underexplored in translation studies.

My work examines four Chinese translations of Hemingway's *The Old Man and the Sea* (1952), by Hai Guan (1956), Wu Lao (1987), Li Xiyin (1987) and Zhao Shaowei (1987). The investigation concerns the rendering of transitivity, modality, direct speech and free direct thought presentation as well as the transitions of modes of point of view. It also inquires into the causes of the variation in style between the four translators. I map textual features onto specific sociocultural and ideological contexts of production in an attempt to identify correlations between them. Another objective is to test the applicability of Halliday's transitivity model (1994) and Simpson's model of point of view (1993) to the analysis of Chinese translated texts, and to explore possible adjustments to these models to make them serviceable for translation comparison between English and Chinese.

The thesis has six chapters: (1) Theoretical approaches, methodological tools and framework, (2) Location of the texts within the sociocultural contexts, (3) Translation of the transitivity system, (4) Translation of point of view, (5) Critical analysis of individual examples and (6) Motivations for translation shifts.

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Declaration

I, Yin Ling Elaine Ng, confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.

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Chapter One

Theoretical Approaches, Methodological Tools and Framework

1. Introduction

“But man is not made for defeat. A man can be destroyed but not defeated.” Thousands of Chinese readers have been inspired and empowered by the motto of Hemingway’s *The Old Man and the Sea* (1952, 1993, p. 89). The novella has been well received in China since it was first translated into Chinese in 1956 and retranslated about thirty years later in three different versions in 1987. Yet in the overwhelming majority of published reviews of these translations, the role of the translators was hardly ever acknowledged, and the translations were generally read and commented on as if they were the original. This has provoked my interest in exploring the visibility of the various translators who rendered Hemingway’s *The Old Man and the Sea* in two major historical periods of modern China (in the early years of the PRC in 1956 and the period of reformation and opening to the outside world in 1987). To conduct the exploration, I will use an interdisciplinary approach, incorporating the tools of (1) systemic linguistics, (2) corpus studies, and (3) sociocultural and sociohistorical research within the framework of descriptive translation studies to form a coherent methodology for investigating the presence of the translators in the texts. The approach is potentially promising but as yet underexplored for the study of style in translation and descriptive translation studies in general (Olohan, 2004, p. 149).

In this opening chapter, I will review the theoretical approaches, methodology tools

and framework used to conduct this thesis. First, I focus on introducing Hermans's (1996, 2000) notions of the translator's voice and self-reference, as well as Baker's (2000a) pioneering and a few recent studies on the translator's style. All these researches have stimulated me to try out a holistic approach to studying the voice of the translator. Following this, I provide a sketch of the core insights and different emphases of the modern linguistic and cultural approaches to translation, which constitutes the theoretical ground for my choice of an integrated methodology for my work. Then, I briefly describe the four Chinese translations of *The Old Man and the Sea* and my areas of investigation. The next two sections are devoted to the methodology tools of linguistic stylistics and corpora in translation studies. Finally, I review Munday's (2002) systemic model for descriptive translation studies and the three-phase methodology I devise on the basis of it to illustrate how I apply the model to my research. The chapter ends with an outline of the thesis.

2. Translator's Style

2.1. Style in Translation

"Style" is a vexed term that is very hard to define even though it is used frequently in literary criticism and stylistics. It can refer to the language habits of an individual or a group, the effectiveness of a mode of expression, or a set of distinctive linguistic features characteristic of an author, a genre, period and so on (Davy, 1969, pp. 9-10; Wales, 2001, pp. 370- 371). In translation studies, there are no clear definitions of style or discussions of its role in translation other than emphasising that the translator should preserve the "dignity," "richness," "spirit" or "sense" of both source and target languages; nor is the situation any better in recent translation theory (Boase-Beier, 2006, pp. 10-12). Baker (2000a) points out that researches applying the notion of style to the study of translation like those by House (1977, 1981, 1997), Trosborg (1997) and Park (1998) are all tied to the traditional notion of faithful reproduction of

the original, with little regard for the individual role of the translator. This is so because translation has long been viewed as a derivative activity, and thus translators were not expected to develop their personal style since their primary duty was to duplicate the original as closely as possible. In actual practice, Baker argues that it is impossible for a translator to translate a text impersonally without leaving his or her individual fingerprints on it (2000a, p.244). In this thesis, I limit the concept of “style” to the linguistic habits or “idiolect” of an individual author in a particular literary work. As a translator is also an author of the target text, I am interested in capturing the traces that the four translators leave mainly in their versions of *The Old Man and the Sea*, but not in their other texts translated with overall distinctive styles of their own.

2.2. The Translator’s Voice and Self-Reference

The visibility of translators has received growing attention since Hermans (1996, 2000) introduced the notions of the translator’s voice and self-reference. He suggested that there is always present in translated narrative discourse a second voice, “as an index of the translator’s discursive presence,” (1996, p.27) which imitates but does not coincide with the primary voice of the narrator in co-producing the text. Such a presence can be visible, yet with varying degrees of explicitness in different cases, or entirely hidden behind the voice of the narrator, leaving no discernible traces in the translated text unless comparison of the source text and the target text reveals the translator’s intervention. The translator’s voice is most discernible when the translator usurps the original voice through paratextual intervention, speaking in an autoreferential first person in adjusting to the needs of the target reader as a result of pragmatic displacement caused by the cultural embedding of the original, self-referentiality in the use of specific language devices such as polysemy, wordplay and so on or contextual overdetermination, where the

form of the language and context of the source text leave no other option (ibid., pp. 27- 28, p. 33). In addition, Hermans (2003) thinks that a translator's subjective position is inevitably involved in each act of rendering accompanied by a new reading of the text and consequently, new choices made. Furthermore, every translation manifests the translator's own mode of translating in relation to prevailing practices or concepts of translation (pp.4-5). This is known as self-reference of translation, which can be made explicit by the translator in the paratexts (the translator's preface, epilogue, footnotes, endnotes, etc.) or in the text itself (the use of bracketed source-text words, occasional use of non-translation or semi-translation, deliberate creation of stylistic effects, etc.). There are instances in which the translator openly defies the existing tradition of translating and attempts to "impose a new concept of translation" linked to "particular sets of cognitive and normative expectations" (Hermans, 2000, p. 264, p. 269, p. 272).

2.3. A New Perspective on the Style of Translation

Baker (2000a) conducted the first published study using corpus methodology to compare the styles of two literary translators – Peter Bush and Peter Clark – in terms of their discursive presence in the texts. She defines style as a kind of "thumbprint" expressed in a range of linguistic and non-linguistic features (p.245). The "thumbprint" analogy originates from Leech and Short (1981), who use it to refer to an author's linguistic habits of expression reflected through some small detail in his or her writing, which provides clues to his or her identity (pp. 11-12). Baker (2000a, pp. 245-246, p. 262) proposes to study the translator's style from the perspective of the translator rather than the original author. The notion of style covers various aspects of the translation process, ranging from the selection of the material to translate, consistently used strategies, and paratextual interventions to a translator's characteristic use of language, his or her individual profile of linguistic habits in

comparison to other translators. Baker is particularly interested in capturing recurring patterns of stylistic features rather than individual isolated instances – those repeated linguistic options which are beyond the conscious control of translators. They belong to the domain of what Leech and Short (1981) calls “forensic stylistics” (p.14).

Baker (2000a) points out the difficulty of identifying a translator style in terms of his or her patterns of selections, since there is still no model to draw on for isolating linguistic features that are attributed to the translator only and those that are simply caused by the source author style or general source language preferences (p. 246). To tackle the problem, she uses the Translational English Corpus (TEC) to compare aspects of the styles of Peter Bush and Peter Clark, yet in the absence of the source texts. The features she looks at include type/token ratio, average sentence length, variation across texts, frequency and patterning of SAY (the most common reporting verb in English), the use of direct and indirect speech and the optional “that” with “SAY,” as well as the way the reporting verbs are modified. Finally, she tries to explain the linguistic findings by relating them to the data she gathers about the backgrounds of the two translators and the different contexts of the translation activities. She suggests some potential motivations for the translators’ stylistic patterns, like the nature of the type of materials to translate, the physical location and linguistic environment of the translator, the implied reader the translator assumes, the relative cultural and literary distance between the source-text and the target-text systems (pp. 258-260).

Taking my cue from Hermans’s notion of the translator’s voice and Baker’s concept of style in translation, I consider style as the fingerprints of an individual translator reflecting a range of linguistic and nonlinguistic choices that may be immediately detectable or may remain entirely concealed in the translated text. I identify the

discursive presence of the translator mainly through close examination of the translator's linguistic choices made in the translated text and in the translator's paratext. However, my approach to the analysis of style is different from Baker in several respects.

First, Baker emphasises capturing those inconspicuous linguistic habits beyond the conscious control of the translator, while I concentrate on examining those artistically motivated, prominent or foregrounded lexical items that contribute to the stylistic value of a literary work as a whole. While I readily concede it is often hard to determine whether the choices are conscious or unconscious on the part of the original author and translator, my interest lies in the realm of linguistic or literary stylistics, which establishes the guiding principles of deviance, prominence and literary relevance for the selection of linguistic features for stylistic analysis. I will introduce these concepts in section 5.5. They offer me some guidelines for picking out a 'repertory of features' for comparison of source-text and target-text segments. Moreover, other than measuring recurring patterns of linguistic behaviour, I will also examine individual creative options, since both are realisations of the idiolect or linguistic style of the translator (Munday, 2008, p. 20). Thus, I use both quantitative and qualitative methods of analysis.

Second, while Baker looks at the translations independently of the originals, I will compare multiple target texts with the source text. This enables me to control the variable of the source text, to assess the relative markedness of source-text and target-text lexical items, and to uncover translation shifts through systematic comparison between the source text and several target texts. All these are necessary procedures for pinpointing the translator's voice in translation, otherwise explanations for the translator's choices will appear highly speculative, as are those

given by Baker (2000a) in her study. Nevertheless, a comparative analysis of the source text and the target text(s) still does not serve to keep constant other confounding variables of the source-text system, which may also have influenced the translator's decision-making process, including the source-text author, genre, subject matter, the general source language conventions (Munday, 2008, p. 36, p. 40). In fact, as Baker points out, the lack of a model to control all the variables involved in order to sort out those linguistic choices that are attributed to the translator alone is the main problem regarding the methodology for capturing the translator's style.

Third, while Baker employs corpus processing tools such as type/token ratio, frequency lists and average sentence length to examine the two translators' preferred patterns of linguistic behaviour, the use of computer-assisted tools for corpus studies is not my focus of attention in this research. Since the size of my corpus is relatively small, composed of approximately 22,024 words of the English original and respectively 37,702, 35,824, 30,965 and 34,254 words of Hai's, Wu's, Li's and Zhao's translations totalling 138,745 words, I will compile two parallel corpora manually. Furthermore, even if I attempt to use the available software Wordsmith version 4 to construct the two corpora, I need to do much work in preprocessing the translated texts by lexic parsing (i.e., segmenting) them with appropriate spaces between groups of Chinese characters before they can be saved in plain text for processing, since the concordancers designed for English do not work well with Chinese ("Wordsmith for Chinese," 2008). It is simply not economical to spend much time solving basic technical difficulties for a small-scale study, not to mention that manual aids are still needed as the computer is not all powerful in processing the data. However, I will still use simple corpus tools, including word count, frequency

lists, percentage, Key Word in Context (KWIC) and intercalated text¹ that can be processed semi-automatically with the help of computer to analyse the corpus data. In fact, I aim to explore the possibility of adding an extralinguistic dimension to the corpus method, and my ultimate interest is in mapping the stylistic features identified onto the social and ideological contexts of production in an attempt to establish a correlation between them. This requires systematic research into the sociocultural and historical environments in which translation takes place as well as writings about the translators, publishers and translations. Baker emphasises that identifying linguistic habits is not an end in itself in the study of the translator's style but should tell us something about the factors that shape the translational behaviour. In addition to identifying stylistic patterns by means of the corpus processing tools, she also conducts interviews with the two translators and refers to their specific background and works translated in order to understand better their position in translation. I argue that this kind of extra-textual information should be collected more comprehensively through historical and sociocultural research.

In another study focusing on examining recurrent lexical patterns in translation, Baker (2004) stresses that corpus methodology, like other research methods, has its own limitations. It takes textual method as the starting point but does not go much beyond the level of text and thus needs to be complemented by other research tools (p. 184). Therefore, in this thesis, I seek to explore the potential of combining the corpus-based method with sociocultural and historical studies to capture the translator's voice in translation. In addition to these two major tools, I also incorporate systemic linguistics, which is used with corpora as the linguistic method for conducting internal textual analyses. It complements the cultural studies method for

¹ An intercalated text is a text produced manually by entering the translated text between the lines of the source text with the aid of the computer in aligning each sentence of the source text with its counterpart of the target text beforehand (Munday, 1998, p.7; Laviosa, 1998, p.4).

investigating external contexts. Systemic linguistics is the means adopted by Linguistic Stylistics, which draw on Halliday's systemic functional grammar (SFG) to study literature. I will introduce this approach in more detail in section 5.1 and the two linguistic models I employ to compare a 'repertoire of features' of the original and the four translations in section 7.2. as I move to review the methodological tools and framework employed in my study.

2.4. Research on the Translator's Style

Inspired by Baker's pioneering research, there have been several other studies on the discursive presence of the translator. A series of such studies by Malmkjær, Boase-Beier, Millán-Varela, Thomson and Marco was collected in a special issue of *Language and Literature* (2004). The editor of the journal Boase-Beier remarks that these articles "represent an extremely eclectic mix of views and approaches; in fact they take on literary notions such as intertextuality and reception as well as examining linguistic structure such as transitivity, word-order, ambiguity and reported speech" (p.10). Although all these researches attempt to integrate insights gained from literary and cultural studies to broaden purely linguistic and stylistic analyses, they do not go much beyond the short-term goal of a sporadic source text and target text comparison (Munday, 2008, p.30), and their methodology is far from systematic and replicable. A few other recent studies use corpus processing tools to investigate aspects of the translator's style, such as Winters's (2004) research on the use of modal particles in two translations of Scott Fitzgerald's *The Beautiful and the Damned* (1922); Bosseaux's (2007) examination of the shifts in point of view in three French translations of Woolf's *To The Lighthouse* (1927) and two of *The Waves* (1931). However, these studies are basically text-based and data-driven, focusing more on the study of the translation product rather than the process. Overall, research on the translator's style has remained sparse, and there is little concern for

the relation between the target text and the translational context. Translational context refers to the sociocultural and institutional factors that exert pressure on text construction (Li, 2003, p.69). An exception is Munday's (2008) recent work *Style and Ideology in Translation*, in which he adopts an interdisciplinary approach, investigating the 'style' and 'voice' of English translations of twentieth-century Latin American writing. He is interested in uncovering the variables associated with the translation process through close examination of the linguistic choices of the translators (p.6). I share with him a similar interest. Indeed, I adopt his systemic model (2002) which integrates the tools of systemic linguistics, corpus linguistics and sociocultural framework as introduced above for conducting descriptive translation research. I will review the model in section 7 as the theoretical framework of this thesis.

3. An Interdisciplinary Approach to Translation Studies

3.1. Introduction

I choose to use an interdisciplinary approach to investigating the styles of four Chinese translations of Hemingway's *The Old Man and the Sea* on the ground that translation studies shows a clear trend towards the contextualisation of translation. The discipline has gone beyond its early association with linguistics to assimilate ideas derived from a variety of disciplines such as cultural studies, literary theory, philosophy, sociology, psychology. Now it is a conglomerate of diverse approaches, frameworks and methodologies with no clear-cut boundaries between different fields of knowledge. Old models and methods have been adapted and integrated with new insights to meet the specific requirements of individual studies. In the course of its development, translation studies has gone through a period of fragmentation and is now facing the danger of being parceled out into individual separate sub-branches. Linguistics and cultural studies are two major competing paradigms that look at the

nature of translation from different perspectives and employ different research tools. The former, a traditional and well-established approach, is more product-oriented, focusing on examining texts as discursive entities. The latter originates from a blend of literary theory and cultural studies, and is more process-oriented, taking an interest in the communicative function and sociocultural meaning of translation in a real-life context (Baker, 2000b, pp.20-21; Li, 2003, pp. 63-66). In the following, I will provide a brief sketch of the linguistic and cultural studies approaches to the study of translation developed over the last three decades, introducing how the discipline has widened its scope of analysis from the narrow comparative linguistics approach to a heterogeneity of perspectives. This forms the theoretical ground for my preference for a holistic method for conducting this research.

3.2. Modern Linguistics

Since the 1980s, developments in linguistics have shifted from transformational-generative grammar that dominated the 1960s and '70s to contextualised approaches, represented prominently by (a) text linguistics, (b) pragmatics, (c) discourse analysis, and (d) critical linguistics. Chomsky's generative linguistics applied transformation rules to study only grammatical sentences in idealised situations, and it restricted its investigations to individual sentences rather than texts. Text linguistics looks at the way texts are organised and structured, and at sequential and intersentential relationships as well as patterns of cohesion in the description of language. Pragmatics is concerned with the purposes, goals and effects of utterances produced in specific social situations. Discourse analysis covers a broader scope, ranging from interrelating text grammar and pragmatics to exploring social and power relations emanating from interaction between texts and users (Wales, 2001, p. 174, p. 392, p. 395; Hatim, 1998a, pp. 67-68; 1998b, pp.262-264). Critical linguistics investigates the relationship between language and ideology since

it recognises that language plays a crucial role in mediating our representation of the world or constructing our worldview. It originates from Fowler's (1979) *Language and Control*, which primarily draws on Halliday's systemic functional grammar (SFG) as the toolkit for uncovering the value systems and ideology encoded in language. Its underlying assumptions are that there often exists a discrepancy between what is overtly stated and covertly implied in a discourse, and the preference for certain options over others reflects the ideological stance of the speaker. It also relates a text to its context of social formations for examining their interactive relationships (Fowler, 1987, pp. 482-485).

3.3. Contextualisation of Translation

The shift of focus in modern linguistics from word, phrase, clause and sentence as the units of analysis to the macrostructure of texts and beyond has made an impact on the study of translation. Translation is no longer viewed as the static operation of abstract language systems in a void, but as a dynamic communicative event taking place at a certain time and place. Likewise, a translator is not seen simply as a mechanical decoder and re-coder of messages, but as a communicator and a mediator, who is involved in a process of negotiating meanings in an effort to transfer information that may have been intended for different readers and purposes in a new social situation. Hence, shifts in form and function are intrinsic to the nature of translation (Hatim and Mason, 1990, pp.vii-viii, pp.2-3; Hermans, 2007a, "Text Linguistics and Pragmatics"). The trend has been oriented towards contextualisation of translation. There is a growing emphasis on studying actual translational behaviour, and the reception and effects of texts on the real world. The move away from static comparisons of texts to the situation of texts within their contexts marked "the cultural turn" in translation studies since the 1990s. Snell-Hornby (1995) called attention to translation as "a web of relationships" in the context of text, situation and

culture (p.35). Bassnett and Lefevere (1998) also proclaimed: "The object of study has been redefined; what is studied is the text embedded in its network of both source and target cultural signs and in this way Translation Studies has been able to utilize the linguistic approach and to move out beyond it" (p.123). Since then there emerged a cultural studies paradigm that foregrounded the social, political and ideological aspects as well as the role and impact of translation. It borrowed theoretical frameworks derived from other currents of thought such as feminism, postmodernism, postcolonialism, deconstruction (Li, 2003, p. 65; Li, 2005, p.2).

3.4. Modern Linguistic Approaches to Translation

The cultural studies approach opens up new areas of research in translation studies; however, it has never developed a clear-cut methodology of its own², unlike the long-established linguistic approach, which underwent a "functional" or "textual turn" and continued to evolve in its own right. The narrow contrastive linguistics approach and the traditional notion of equivalence have given way to more dynamic analyses of genre, register variables and cultural constraints imposed on text production (Li, 2003, pp. 65-67). Halliday's systemic functional grammar, which relates linguistic choices to wider sociocultural settings, has been widely adopted by discourse-oriented translation theorists; for example, Baker (1992) studies equivalence from the rank of word to thematic structure, cohesion and pragmatic effects. She devotes most attention to analysing differences in thematic and information structures between various languages. Hatim and Mason (1990) devise a three-dimensional model of context for register analysis, incorporating

² Although there have been plenty of theoretical frameworks used for research in cultural studies approach to translation, notably is Bourdieu's sociological approach to literature which views a literary work not just as a textual but also as a social phenomenon, and lays emphasis on the study of literary practice and the activities of the people involved in literary production rather than textual analysis (Hockx, 2003, p.4, p.6), there is as yet no methodology from cultural studies that is found applicable to this research with my interest in tracing the link between text and context.

communicative, pragmatic and semiotic dimensions for the scrutiny of sociocultural messages and power relations expressed in intricate communicative processes (p. 58). There is a growing concern for the role of ideology in translation within the tradition of critical linguistics, such as Mason's (1994) analysis of a text from the *UNESCO Courier* regarding the representation of Mexican history. Traces of shifts are found in the rendering of cohesive devices, lexis, thematic structure and so on. He concludes that the role of the collective memory of the peoples of Mexico is downplayed in the target text, and their efforts to search for and record their past is also changed to a passive view of the past. Nonetheless, there is less emphasis on conscious manipulation on the part of the translator since the approach from critical linguistics considers the mediation process as largely unconscious (Baker, 1996, pp. 15-16; Baker, 2000b, pp. 22-23).

3.5. Descriptivism

The 1970s and '80s saw the rise of another influential approach to translation, known as descriptive translation studies, proposed by Itamar Even-Zohar, Gideon Toury and others. It studied mainly literary translation and adopted a theoretical framework largely derived from literary studies. The approach aims to describe and explain translation as what it is rather than formulating rules to evaluate and improve its quality. It turns attention away from equivalence and examination of individual source and target texts towards the study of a body of translated texts within the target polysystems in which it functions (Baker, 1993, pp. 237-238; Shuttleworth, 1998, p. 178). It researches into the decision-making process and the set of factors that operate collectively in conditioning the choices of the translator. Toury elaborated the notion of norms as constraints governing translational behaviour. Norms are values, knowledge and expectations mutually shared by a community regarding what is "correct" behaviour. In the field of translation, norms can be defined as "the options

that translators in a given socio-historical context select on a regular basis” (Baker, 1998a, p.164). They are non-random and non-obligatory options chosen consistently by a translator from a range of possible alternatives, in response to the expectations of target readers about what is proper performance in a given situation. They can also be understood as psychological and social factors governing the decisions of the translator, ranging from the selection of text types, directness of translation (whether the use of an intermediate text is accepted), the choice of a source-oriented or target-oriented strategy, how much of the text is translated, to micro-level strategies concerning diction, the use of punctuation and italics, and so on. Norms will vary with changing circumstances across time and space. They contribute to regularity in behaviour, which can be studied by identifying regular patterns of features in a corpus of translated texts. Nevertheless, it is important to note that studying a translated text itself does not tell us why the choices were made by the translator in the way they appear in the corpus. Moreover, identifying regular patterns of translation provides no sufficient evidence of group approval of norms, since a translator has the freedom to choose to conform to or to deviate from an existing norm. Therefore, a preferable method of studying norms is to combine both textual and extratextual information, including paratexts such as prefaces and footnotes, and metatexts which are statements about translation and reviews of translated texts made by translators, editors, publishers, readers, translators’ associations and so forth. All this information helps the researcher to understand better the specific circumstances conditioning norms at work. Hence, descriptive translation studies extends its object of research beyond the text itself to include the interactional and sociocultural settings of translation (Baker, 1998a, pp. 163-164; Hermans, 1999, pp. 73-75, pp. 81- 85; Hermans, 2007b, “Descriptivism,”; Brownlie, 2007, “Norms Critique”).

3.6. Combining Linguistic and Cultural Approaches to Translation

The linguistic and cultural approaches to translation have developed side by side, and have been competing for prime position in the discipline for some time. Research in the last two decades has been dominated by the cultural studies paradigm, which has highlighted the socio-cultural and historical dimensions of translation at the expense of detailed linguistic descriptions. Nevertheless, there have been voices to bridge the rift between the two approaches by merging them, since neither of them alone can embrace the whole field, and both have their own strengths which can complement each other to form a coherent framework for descriptive translation studies (Baker, 1998b, p. 279; Tymoczko, 1998, p. 657; Munday, 2001, p.182, p.190; Li, 2003, pp. 64-65; Li, 2005, pp. 8-9). Baker suggests that linguistics informs the study of translation by providing an effective toolkit for the description of language, which is an essential prerequisite for examining any work in translation. The particular strength of the cultural approach is that it explores issues related to the position of the translators, the social relations they are involved and the impact of translated texts. Baker concludes that a division between the linguistic and cultural approaches is undesirable as neither of them by itself can provide all the answers, tools and methodology required for conducting research in all areas of translation studies. Given the interdisciplinary nature of the subject, researchers should be open-minded and integrate insights gained from multiple backgrounds, regardless of what their origin is (Baker, 1996, pp. 16-18; Baker, 2000b, p. 20, p. 26).

To my mind, the most illuminating researches in translation, in fact, were conducted by a combination of linguistic and cultural studies methods; for example, Keith Harvey (1998, 2000) examines the homosexual discourse of camp style in English and French texts and their translations. He draws on the notion of “contact” in

language practice and on the pragmatic theory of politeness, describing the specific characteristics of camp traits in both languages such as the inversion of gender-specific terms (girl talk), renaming (the adoption of male names marked as “queer”), register-mixing of formal and informal expressions. He then compares the source texts and the target texts with reference to lexical, prosodic, textual and pragmatic features. He explains his linguistic findings in relation to the differing cultural settings, including debates on sexual identity, the literary systems operating in French and Anglo-American fiction regarding the values and attitudes towards gay literature, the position and sexual identity of the translators. Harvey stresses that research in translation studies should strike a balance between detailed text-linguistic analyses and generalised notions of macro-cultural trends. He concludes that the challenge lies in situating a discourse in its sociocultural setting in order to establish a causal link between them (pp. 466-467). Another representative study was done by Stefan Baumgarten (2001). He combines sociohistorical and linguistic methods in the analysis of two English translations of Hitler’s *Mein Kampf*. He first provides a brief review of the translation history of the book, then introduces the National Socialist situation in Germany at the time the original was written and the background to the formation of the several translations. He compares James Murphy’s version produced in 1939 and Ralph Manheim’s in 1943 in the rendering of register, syntactic patterns, superlatives, nominal style, connotational meaning and cohesive features. He attributes the two translators’ divergent ways of handling the work to their different ideological stances which impinge on the translation process.

3.7. Conclusion

In light of the complementary nature of the modern linguistic and cultural approaches to translation, I try to combine the two methods within the framework of descriptive translation studies. My aims are to examine patterns of linguistic choice of the four

translators and to deduce the underlying norms of the processes. This requires a method integrating internal text-based analysis with the investigation of the external systemic contexts in which the texts operate. In fact, the trend towards interfacing text and context is also revealed in the evolution of the research models used for translation description. For example, Van Leuven Zwart's (1984, 1989) comparative-descriptive model attempts to go beyond microstructural shifts to consider the narrative point of view on the discourse level and the sociocultural environment around the translation process. Lambert and van Gorp's (1985) contextual model also encompasses an element of text analysis by relating linguistic data to the broader cultural context. Though both models have their own shortcomings, they can complement each other as a coherent research tool for the study of translation (Hermans, 1999, p. 68), which is demonstrated by the later integrated model developed by Munday (2002). Hence, other than the texts, I will also examine the paratexts and metatexts surrounding the production, reception and impact of the four translations studied.

4. Texts Studied and Areas of Investigation

My work investigates the styles of four Chinese translators in translating Hemingway's *The Old Man and the Sea* (1952) within the context of modern China. Hemingway was an influential writer in China who made a significant impact on contemporary Chinese literature. Among all the Chinese translations of Hemingway's works, *The Old Man and the Sea* is the most popular. The image of Santiago as an undefeated hardened man strengthened and enlightened thousands of Chinese people. The novella was translated into five different versions between 1956 and 1987 in China, respectively by Hai Guan in 1956, who produced another slightly

modified version in 1960³; Wu Lao, Li Xiyin and Zhao Shaowei all in 1987. They are all distinguished translators, with the four translations published by four great publishers – Hai's by Xin Wenyi in 1957, Wu's, Li's and Zhao's respectively by Shanghai Yiwu, Sichuan Wenyi and Lijiang in 1987. The four translations are a good choice for the study of the translator's voice in translation since they stretch across two important periods of foreign literature translation in China, namely, the early Communist era from 1949 to 1966 and the post-Mao period of opening to the outside world after 1978; both periods are markedly different from each other.

It will be interesting to explore how the four translations are different from each other in comparison with the original, and how their variations are related to the specific sociocultural and ideological environments in which the texts were produced. By comparing the four target texts with the same source text, the variable of the source text is kept constant, thus differences between the target texts can be attributed to the choices of the respective translators. Moreover, a close comparison of the four translations produced in two different historical periods (Hai as one set done in 1956 and 1960; and Wu, Li and Zhao as another in 1987) allows me to examine those options selected by the translator from a total linguistic repertoire against the backdrop of latent alternatives that were excluded. This provides insight into the characteristics of the individual style of the four translators, and into the specific set of situational factors which have conditioned the translator's preferences for certain options over others which were also available in a given historical context. My ultimate interest is in identifying the potential motivations for the linguistic shifts in the four translations. This is done by mapping stylistic traits of each of the four versions onto the particular sociocultural and political settings of the text in an effort to

³ For the two translations of *The Old Man and the Sea* done by Hai, I study primarily his first version produced in 1956, though I will also review his revised 1960 edition in chapter two (section 3.4.3.) under the sociocultural contexts of the target texts.

establish a correlation between text and context. There were a few translation reviews of *The Old Man and the Sea* written from the 1990s to 2000s. They are all evaluative and narrowly-focused linguistic analyses, bound strictly by the traditional notion of equivalence in assessing the relative success of the translations in reproducing particular linguistic and stylistic features, with little regard for the sociocultural functioning of translation and how it was shaped by the time and place in which the translations came into being.

Among the three analytical tools incorporated into my research, I am particularly interested in systemic functional linguistics. Specifically, I will employ M.A.K. Halliday's (1994) transitivity model and Paul Simpson's (1993) model of point of view as the linguistic toolkits for comparative analyses of the source text and the four target texts with the aim of classifying shifts and deducing the underlying norms at work in the translation process. I concentrate on exploring the worldview and value systems of the old man which constitute the 'mind style' of the text (Fowler, 1996, p. 214) and is also related to the psychological point of view and point of view on the ideological plane in Simpson's model (Munday, 2008, p. 25). As mentioned before, the image of the old man as an undefeated hero made a tremendous impact on Chinese readers. I am keen to explore how the old man encodes in language his mental picture of reality and the way his heroic figure is represented in the four translations. I prefer to use Halliday's transitivity model since it contains comprehensive and delicate categorisation of various types of experience of the world relevant to the characteristic features of Hemingway's style exhibited in *The Old Man and the Sea*. Hemingway himself said that his intent in writing was to make his readers hear, feel and see (Baker, 1972, p. 74). The model provides an analytic toolkit for the study of those artistically motivated and foregrounded lexical choices made by the original author. It also allows me to look into the extent to which the

markedness of these features is also present in the four target texts. Point of view in narrative fiction generally refers to “the psychological perspective through which a story is told,” or the viewing position assumed by the author-narrator in telling a story. It is realised linguistically by the modal system (Simpson, 1993, pp. 4-5), and is labeled “focalization” by Genette (1980, p. 188). Simpson proposes nine polarities of point of view which are manifested by the interaction between the type of modality patterns and the viewing position of the narrator, coupled with the mode of speech and thought presentation employed.

Point of view in translation is an interesting area of investigation for my study since third-person external narration and Free Direct Thought (FDT) presentation are narrative forms absorbed and modified into Chinese vernacular fiction at the beginning of the twentieth century from 1902 mostly through translations of foreign literature. In fact, omnipresent narration by which the narrator (story-teller, Shuoshude) is in full control of the presentation of the narrative had been the dominant narrative mode in traditional Chinese fiction. Although restrictive first-person or third-person narrative appeared at the beginning of the late Qing in works such as *The Dream of the Red Chamber*, and even earlier in fiction works from the Tang, Ming to Qing Dynasties, these innovative narrative techniques were not yet fully developed or mastered internally until the 1920s to 1930s in which initially first-person narration and subsequently third-person narration were widely experimented with, assimilated and adapted into modern Chinese fiction by prominent May Fourth writers like Lu Xun, Guo Moruo, Yu Dafu and Ye Shengtao (Chen, 1988, pp. 60-69, 89-91; Zhao, 1995, pp. 51-53, 59-62). Imitation of FDT mode in literary creation and translation received much attention from Chinese critics in the 1980s. It is worth probing into how these narrative techniques are assimilated into the four translations and the way they vary according to different historical and

sociocultural circumstances. My investigation explores the translation of transitivity, modality, direct speech and free direct thought presentation as well as the transitions of modes of point of view in the four versions. I will introduce in more detail the specific features selected on the basis of the two linguistic models for comparative analyses between the source text and the target texts in section 7.2., where I will illustrate how I apply Munday's (2002) systemic model to my work.

Research on the application of Halliday's systemic functional grammar (SFG) to the analysis of Chinese translated texts is still in an initial stage. For example, Huang (2006) studies the English translations of selected Chinese classical poems from the perspectives of the experiential, logical, interpersonal and textual functions, and attempts to test the applicability of systemic functional linguistics to the study of Chinese translations. However, his analyses focus more on the English translations of the Chinese originals rather than the Chinese translated texts. Though he also applies aspects of the model to analyse the Chinese poems, they are not very close comparisons of the constituent parts of the clauses between the source text and the target text(s) with the aim of identifying microstructural shifts in all the examples given as illustrations. Zhang (2005) and Shang (2003) examine English source texts and their Chinese translations according to the theory of context of situation (field, tenor and mode) and context of culture. Likewise, they appear to compare the source text and the target text(s) more from a macrostructural rather than a microstructural angle for the categorisation of shifts in units of translation, though in some cases they analyse a few free-standing sentences for close scrutiny of their shifts in structure and meaning. Therefore, another major objective of my research is to test the applicability of Halliday's (1994) transitivity model and Simpson's (1993) model of point of view to the study of Chinese translated texts, and to explore the possible adjustments needed to make them fit for translation comparison and description

involving translation into Chinese.

5. Methodological Tools

Having provided an overview of the concept of the translator's voice in translation and the approaches and objectives of this thesis, I now introduce the methodological tools I use to conduct this research. Since the cultural approach has never had a distinct methodology of its own though it has opened up some new perspectives for the study of translation (Baker, 1996, p. 17), I will concentrate on reviewing the tools of Linguistic Stylistics (section 5) and corpora in translation studies (section 6), which I draw on for my work.

5.1. Linguistic Stylistics

Linguistic stylistics takes an interest in using the linguistic tool to study literature. It was pioneered by M.A.K. Halliday (1964), who explained that “the linguistic study” of literary texts does not mean “the study of the language” but “the study (of the language) by the theories and methods of linguistics” (p.5, his brackets). This approach to literature conducts literary analysis on the basis of general linguistic theory and descriptive linguistics rather than ad hoc impressionistic judgement in support of a preformulated thesis (ibid.). Representative studies include Halliday's (1971) analyses of Lok's language in William Golding's *The Inheritors*, Yeats's poem *Leda and the Swan* (1964) and Tennyson's *In Memoriam* (1987); and Chris Kennedy's (1982) investigations of a passage from Conrad's *The Secret Agent* and the story “Two Gallants” from Joyce's *Dubliners*. These studies relate the formal features of literary texts to their functions in wider social contexts for the interpretation of their themes and stylistic effects. The approach argues that a systematic grasp of the workings of the language system enables readers to

understand better the effects of a literary work, to make less subjective comments, to examine inter-related linguistic patterns across a text, to produce explicit linguistic descriptions by using a common terminology, and to replicate studies using similar means for verifying the results (Carter, 1992, pp.5-6; Simpson, 2004, p.4). Nonetheless, these theorists are well-aware that the linguistic method of analysis is only relatively and can never be truly “objective” since no interpretation of a text can be entirely “neutral” or “value-free” (Simpson, 1993, p.7).

5.2. Style as Choice

Style can be defined as the choices of certain linguistic features over other possible options in the representation of an event or object. The choices are made from a total linguistic repertoire, and have a significant impact on the way a text is constructed and interpreted. Stylisticians often inquire into why one set of linguistic options is favoured over others by the writer (Leech & Short, 1981, p. 10; Simpson, 2004, p.22). Dualism and monism are two traditional views of style. The dualists propose that there are alternative ways of paraphrasing the same subject matter to preserve its basic sense, while the monists think that form and content are inseparable and therefore any change in form will inevitably cause a change in meaning. According to Leech and Short (1981), both dualism and monism could be broadened out by pluralism, which is a more comprehensive approach to analysing style in terms of the metafunctions of language rather than the narrow dichotomy between form and content. They adopt Halliday’s view that language performs different functions which convey various strands of meaning, and any use of language is the result of choices made on different functional levels. All linguistic choices are “meaningful” and “stylistic,” and are interrelated within a collective system (pp. 19-39).

5.3. Halliday's Systemic Functional Grammar (1994)

Halliday's systemic functional grammar (SFG) views language as a system network of interlocking options and a semiotic system, from which each choice is made against the backdrop of other available alternatives that could have been chosen but were not, and each selection serves as an entry condition leading to others in an intricate closed network. Thus, the process of making meanings is a process of choosing from the total linguistic system (Halliday, 1994, pp. xiv; Eggins, 1994, pp. 21-22; Butler, 2003, p.169). In SFG, a text is broken into small constituent parts for close scrutiny of their functions. A text may be made up of only one sentence, which consists of clauses. A clause consists of phrases or groups of words. A group of words or phrase consists of words. Every constituent or linguistic item should be related to others in the system network for comprehensive analysis (Martin et al., 1997, pp. 7-9).

According to Halliday (1994), grammar consists of both syntax and vocabulary, which should be studied together as "part of the same level in the code," labeled "lexicogrammar," rather than as two separate entities (p. xiv). Furthermore, language is structured as a system creating three strands of meaning simultaneously, namely, ideational (or experiential), interpersonal and textual meanings, which are related respectively to "the clause as representation," "the clause as exchange" and "the clause as message" (Martin, et al., 1997, p. 9). These three types of meaning are called metafunctions in SFG. Ideational meaning is concerned with the way we encode in language our experience of the world, including our inner world of consciousness. Its lexicogrammatical realisation is the transitivity system, which refers to the semantic processes expressed by clauses containing the process realised by the verb, the participants in the process realised by noun phrases, and the circumstances associated with the process expressed by adverbial and

prepositional groups (Eggins, 1994, p. 12; Simpson, 1993, p.88). Interpersonal meaning is meaning about social relations and social roles, attitudes and beliefs expressed between participants in the exchange of goods, services or information. It is realised by the modality pattern through the use of modal verbs and adverbs, *verba sentiendi* (words denoting thoughts, feelings and perceptions), evaluative adjectives and adverbs, and so on. Thus, it is closely related to the study of point of view in narrative fiction (Simpson, 1993, 47; Martin et al., 1997, p. 58). Textual meaning refers to the way words are put together to form a text or the way words are related to what was said before and the context. It is realised by the thematic and information structures through the organisation of elements in a clause, and by patterns of cohesion through the use of pronouns, repetition, ellipsis and so forth. In addition, SFG links linguistic choices to their wider socio-cultural framework since it considers a text as the product of an ideational and interpersonal environment (Halliday, 1994, p.xvi; Munday, 2001, pp. 90-91). Language and context are closely related; context can be deduced from the language used in a text, and the ambiguity of language has to be resolved in its context (Eggins, 1994, pp.7-9).

5.4. Applying Systemic Linguistics to the Analysis of Hemingway's Works

A number of studies have applied systemic linguistics to the analysis of Hemingway's works; for instance, Gutwinski (1976) investigated the grammatical and lexical cohesion of an extract of 607 words from Hemingway's "Big Two-Hearted River: Part I," comparing it with a paragraph of James's *The Portrait of a Lady*; Carter (1982) studied the stylistic effects of nominal group structure, verbal structure, free indirect speech and so on in the short story "Cat in the Rain;" Fowler (1996) examined the transitivity structure of an extract of twenty sentences from the short story "Big Two-Hearted River: Part I;" Simpson (1987, 1993) analysed two extracts from *The*

Old Man and the Sea. Since my research offers a comparative stylistic analysis of *The Old Man and the Sea* and its four Chinese translations, it is worth reviewing how Simpson employed the linguistic model to investigate levels of meaning of the selected passages from the novella. This gives me insight into the way I can adopt a similar method to analyse the source text and four target texts.

Simpson (1987) conducted a multilayered stylistic analysis of the narrative structure of a passage of forty-four sentences from the central section of *The Old Man and the Sea*. He employed three different linguistic frameworks to study the grammatical structure (layer 1), textual component (layer 2) and modes of speech and thought presentation (layer 3) of the extract. He also placed the text within its wider context for a close scrutiny of its narrative pattern. He concluded that the passage revealed “a dual narrative movement” analogous to the actual movement of the old man and his boat at sea. Such a peculiar effect was generated by the simple, linear development of the text, inextricably interwoven with the complex, rhythmic transitions between the speech, thought and Narrative Report of Action (NRA) strands, producing a tight narrative structure like “narrative waves” which mirror every event of the story (pp. 220-222). In a subsequent study, Simpson (1993) examined another extract of eight paragraphs from *The Old Man and the Sea* with reference to modality and transitivity. For modality, he studied the pattern of transitions of narrative mode from one paragraph to another. He concluded that the text showed systematic oscillations between the speech, thought and NRA modes. This was consistent with what he had found in his earlier 1987 study. Furthermore, he investigated the first paragraph of the same passage again from the perspective of transitivity. He found that a regular pattern of transitivity was displayed by the stable use of active rather than passive sentences, giving the text a flat feel. The material processes were dominant while the mental and other processes were

suppressed, manifesting “a highly ‘actional’ descriptive framework” (p. 97). Overall, Simpson’s multi-layered analyses of *The Old Man and the Sea* are illuminating. He focuses on two short extracts while my research covers the old man’s three-day battle with the fish (accounting for four-fifths of the book), and I will look at a different set of linguistic features selected on the basis of his model of point of view coupled with Halliday’s transitivity model.

5.5. Selection of Linguistic Features for Stylistic Analysis

Linguistic stylistics provides some guidelines for the selection of linguistic features for stylistic analysis. According to Leech and Short (1981), the features for stylistic study, labeled “style markers,” can be selected according to the principles of deviance, prominence and literary relevance. They stress that linguistic stylistics should aim at examining those textual properties that are motivated for literary considerations. This is different from attributional stylistics, which studies a “range of vocabulary, sentence length or frequency of certain conjunctions,” and so forth, with the purpose of finding out unobtrusive linguistic habits of writers beyond their conscious control (p. 3, p.14, pp. 48-50, p. 69). In a literary context, the primary criterion for selection is to choose those marked features in a text that deviate from the norms of the language in question. However, this principle is problematic as there exists no absolute universal norm that can be used as a yardstick against which to assess objectively the deviation of a specific feature from it (Halliday, 1971, p.341; Leech & Short, 1981, p. 43; Simpson, 2004, p.51). A remedial solution is to establish a relative linguistic norm by comparing the corpus whose style is under investigation with one or more comparable corpora of a similar genre and period for checking the relative markedness of the feature examined. For instance, Milic’s (1967) study of Swift’s prose style compared a sample of Swift with passages from Addison, Johnson and Macaulay, confirming that Swift’s preference for initial clause connectives marks his

peculiar style among the other three writers. A general guideline for determining relative norms is that “[t]he greater the range and size of the corpus which acts as a relative norm, [provided that the norms chosen for comparison are contextually related as a common point of reference]⁴, the more valid the statement of relative frequency. But a small sample for comparison is better than nothing at all” (Leech & Short, 1981, pp. 52-53; my emphasis added).

As for the principle of “prominence,” Halliday (1971) suggests choosing those distinctive items that stand out in a text, which may not necessarily be deviant features of exceptional usage, but just ordinary linguistic elements used for special artistic purposes. He distinguishes further “prominence” from “stylistic relevance,” which he labels “value in the game” (p. 339-340, p. 344). He stresses that “prominence” is not the only determining factor in measuring the features selected for analysis, they should also be stylistically motivated items that contribute to the total meaning of the text as a whole (p. 339). Leech and Short (1981) explain that Halliday’s notion of “value in the game,” in fact, is associated with the Prague School concept of foregrounding, understood as “artistically motivated deviation” (p.48). It refers to some unconventional use of language that exploits the grammatical system to create surprising effects (ibid., p. 28). In sum, the style markers selected for study should fulfill both a linguistic and a literary criterion, merged in the notion of foregrounding. They should be salient features of style (regardless of whether they are normal or deviant features measured by relative norms) which have literary-aesthetic significance (ibid., p.69). The features I select for analysis in my study are all artistically motivated choices that constitute the notion of point of view in

⁴ The concept of “contextually related norm” was proposed by Enkvist. Leech and Short (1981) explain that there is no point of comparing Jane Austen’s style with that of contemporary legal writing, but it can be compared more specifically with other prose writings or novels of the period, or with other novels of a similar subject matter. The rule is to narrow down the range of comparison for attributing the stylistic features under investigation to Jane Austen’s style of her own (p.53).

narrative fiction. Though I use no relative norms to measure their deviance, some of them are demonstrated to be prominent features that have literary significance in Simpson's studies of *The Old Man and the Sea* (1987, 1993).

5.6. Combining Quantitative and Qualitative Methods of Analysis

As regards the methodology for investigating style, a combination of quantitative and qualitative methods should preferably be used. Leech and Short (1981) introduce two types of foregrounding: quantitative and qualitative. Quantitative foregrounding is "deviance from some expected frequency," which is manifested in pervasive features forming dominant patterns across a text; while qualitative foregrounding is "deviation from the language code itself – a breach of some rule or convention of English" (p. 48). This is usually realised in isolated features located within the confines of a chapter, a page or even a paragraph, exhibiting internal deviation from the local norm⁵ within the text itself. Thus, both quantitative and qualitative analyses are needed in stylistic study. In fact, individual items in a text should be examined against the background of the general tendencies of recurring features as a coherent whole. It is through a comparison with the usual features that the unusual items become marked (p. 48, pp. 56-57, p. 64).

In supporting the use of simple statistics as the quantitative measurement of style, Halliday (1971) remarks that distinctive qualities of style, regardless of whether they

⁵ Leech and Short (1981) explain that a foregrounded pattern, whether it is attained by deviating from a norm or by breaking some rule or convention of a language, will set up its own expectancies by its stylistic consistency and form a special language to establish a norm within the text itself, known as a "secondary norm" or a local norm, which is contrasted with the primary (relative) norms that determine our general expectations of language. For example, the language of Lok in Golding's *The Inheritors* is viewed as 'odd,' judged by the primary norm of twentieth-century prose fiction, but his account of Neanderthal man forms his own 'dialect,' serving to establish a secondary norm as the backdrop against which what might be deviant is measured inside the text (pp. 54-55).

are simple or complex linguistic elements, can often be expressed in terms of frequency distributions. In addition, the relative frequencies of different linguistic properties which serve to establish the local norm of a text are a manifestation of some sort of “meaning potential” or the “probabilistic nature of the language system.” Therefore, there is no reason to refuse the use of statistical support in stylistic analysis though it also has its limitation (pp.343-344). In some cases, foregrounding cannot be quantified since frequencies do not tell whether a particular linguistic pattern has stylistic value or not. It is possible to encounter the contradictory situation that a prominent feature of a distinctive frequency is merely a trivial element that has no literary relevance, while a distinctive feature of stylistic significance may not necessarily form a conspicuous frequency pattern. Hence, the general rule in quantitative measurement of style is to provide a rough counting of frequencies, which is sufficient for indicating that some features stand out in a text for further testing of their validity (ibid.).

Leech and Short (1981) emphasise that the use of statistics should be adapted to the purpose of study. They agree that while statistics may help to provide evidence for the “hunches” about the style of a work, they are far from an entirely objective means, since it is impossible to provide an exhaustive description of every aspect of the style of a text (pp. 44-47). Therefore, any linguistic model or system used for the categorisation of features, however intricate, is bound to be biased and incomplete. It is “an aid rather than a substitute.” Overall, stylistic analysis cannot be reduced to mere “mechanical objectivity.” Instead, the reader’s intuition and subjective judgment has a respectable place in it (p.4, pp. 44-48).

6. Corpora in Translation Studies

6.1. Corpus Processing Tools

Corpora as used in corpus linguistics have been applied to translation studies since 1993. The term corpus refers to “any collection of running texts (as opposed to examples / sentences), held in electronic form and analysable automatically or semi-automatically (rather than manually)” (Baker, 1995, p. 226). The use of software for processing corpora enables the researcher to handle large quantities of texts, and to access rapidly vast amounts of data which can hardly be done manually. The software includes a variety of computer tools to analyse the data closely; for example, word frequency lists, basic statistics (word count, word length, sentence length), text statistics (type / token ratio yielded for measuring lexical variety by comparing the number of different word forms or “types” to the total number of running words or “token”), KWIC (keyword in context) concordances of any search term(s) with a cotext, intercalated text (a text displaying lines of the source text and their counterparts of the target text(s), see footnote 1 in section 2.3. above). The simple computer-generated statistics give an overall idea of the comparative make-up of the source text and the target text, and provide insight into possible relevant areas of investigation. The KWIC concordance and the intercalated text serve to study lexical items and their translations within their immediate linguistic context (Munday, 1998, pp.3-7; Laviosa, 1998, p.4).

The corpus studies method is aligned nicely with the descriptive approach since they both have shifted the focus of attention from the study of individual isolated texts (a comparison of one source text and one translation) to large bodies of translated texts. Corpora are a particularly effective tool for uncovering the distinctive features of a collection of translated texts, through which to deduce the underlying norms in operation. Norms are options selected regularly in a specific socio-cultural situation,

which to some extent can be traced from the recurring patterns observed in a representative body of translated texts, since the language of translation reflects various kinds of constraints which have impacted on the texts (Baker, 1993, p. 235, p. 237, pp. 239-240; Baker, 1999, p. 285). As Toury (1995, p. 36) suggests, the study of the observable text provides evidence for reconstructing the unobservable translation process.

6.2. Construction and Types of Corpora

A corpus has to be constructed according to the objectives of the study, the research questions addressed and the hypotheses to be tested. The feasibility of practical tasks involved in corpus compilation should also be taken into account (Olohan, 2004, p. 42). Choices concerning the type or status of the translated texts to be included in a corpus, the size and content, as well as using the whole or samples of texts have to be well thought out by establishing appropriate criteria in corpus design, since all these factors can distort data and cause bias in the interpretation of results. In the end, the representativeness, reliability and validity of a particular corpus depends on the extent to which it serves the purpose of the research (Kennedy, 1998, p. 60, p. 68, quoted in Olohan, 2004, pp. 45-46).

There are two types of corpora commonly applied to translation research: parallel corpora and comparable corpora. A parallel corpus consists of texts written in the source language A alongside their translations in the target language B. It is particularly useful for the investigation of translation norms in particular socio-cultural and historical contexts. Comparable corpora are a collection of texts originally written in language A alongside a collection of texts translated (from one or more source languages) into language A. This kind of corpora is especially resourceful for identifying patterns of features that are characteristic of translated texts, regardless

of the source or target languages involved (Baker, 1995, pp. 230-231, p. 234). Comparable corpora are often used for conducting target-oriented translation research, which studies translations without comparing them directly with their source texts. Comparable corpora can be combined with parallel corpora (Olohan, 2004, p. 43).

6.3. Limitations of Corpora

The computer is not all-powerful in analysing data. It serves to assist but cannot replace the role of human analysis (Munday, 1998, 6-7). For example, if I use the computer tool to compile the two corpora for my study, the software will have problems identifying word-forms coming from the same root such as *hold*, *held*, and *holding*; it could not differentiate transitive verbs (e.g., *held the line*) from intransitive verbs (e.g., *tried not to think but only to endure*); it could not automatically call up all instances of material processes of the transitivity model (e.g., *pull*, *swung*, *lifted*) or differentiate material processes (e.g., *tightened*, *put*) from relational processes (e.g., *afraid*, *cramp*) as required⁶. In addition, the word frequency lists often have to be extracted by hand for sorting out relevant items for analysis, and a direct comparison of the type/ token ratio of texts in languages structurally different as English and Chinese may not be meaningful. All in all, technology serves to process easily and rapidly huge amounts of data, yet it has not inherently changed the nature of text-based linguistic analysis. As Kennedy (1998) remarks “corpus linguistics is not a mindless process of automatic language description ... some of the most revealing insights on language and language use have come from a blend of manual and computer analysis” (pp. 2-3, quoted in Olohan, 2004, pp. 15-16). The use of the

⁶ Work such as differentiating various processes of different process types of the transitivity model can possibly be performed by the computer by developing a tagset beforehand to include categories of processes; yet tagging and checking of the lexical items in question found in the corpus still have to be done manually, see Olohan, 2004, pp. 53-54 for tagging and annotating a corpus.

computer tool can serve as an aid to, but not an end itself in corpus-based studies.

While corpus processing tools are good at locating textual features for further analysis and generating simple statistics as clues to the items worthy of further investigation, they are by no means an objective tool for research. Tymoczko (1998) stresses that corpora are just “products of human minds, of human beings, and thus, inevitably reflect the views, presuppositions, and limitations of those human beings” working within a specific context. The perspective of the researcher is unavoidably encoded in the selection of the object of study, the research question addressed, the composition of the corpus and the interpretation of results (p.3). Baker (2004) also warns of the potential danger of applying corpus methodology uncritically. She stresses that researchers should be aware of the unavoidable subjectivity involved in interpreting the data. The same set of data can often be interpreted differently from various angles by different researchers, depending on the criteria used by each individual to select particular features to focus on in arriving at a conclusion (pp. 183).

6.4. Combining Quantitative and Qualitative Methods of Analysis in Corpus Studies

A combination of quantitative and qualitative methods is often preferred in the analysis of corpus data. Quantitative findings form the basis for qualitative analysis (Olohan, 2004, p. 86). Munday (1998) emphasises that figures and frequencies serve as a useful starting point for spotting interesting areas of investigation, but they tend to be “single decontextualized lexical items” that provide little insight into the translator’s motivations. Therefore, the findings need to be contextualised by situating specific instances within their cotext and context for close critical analysis (p. 6). Mason (2001) warns against vague generalisations based on quantification of isolated concordances. He emphasises that contextual and cotextual factors related

to genre, the discourse and rhetorical purposes as well as the intended goals of source and target texts, together with the translator's orientation and other factors of the translation situation should be taken into account in corpus analysis (p.71, p. 78). Tymoczko (1998) also cautions against the unnecessary quest for quantification by corpus tools to confirm what can be known simply by common sense (p.7).

More importantly, though corpus methodology facilitates research into huge quantities of texts, it does not go much beyond the level of text and reveals nothing about the status and impact of translation in a given historical context. Hence, it alone is an insufficient research tool and should be combined with other qualitative research methods for the study of translation (Hermans, 1999, pp. 93-94; Baker, 2004, p. 184; Olohan, 2004, p. 41). Tymoczko (1998) suggests that although corpora are compiled on the basis of the language of translation, they elicit issues worthy of discussion beyond language to include culture, ideology and literary criticism. Moreover, the examination of metatextual data in corpus translation studies moves the area of inquiry from the level of text to the level of context. Thus, she proposes that the design of corpora should incorporate historical studies and the role of translation as cultural interface at different historical times and places. Researchers should be open to the past and to other cultures, and should avoid being trapped in the present by presuming the existence of certain translation norms in the compilation of corpora (p. 2, p. 7).

Luc van Doorslaer (1995) provides useful guidelines regarding the way to maintain a balance between quantitative and qualitative analyses in corpus-based studies. He points out that there often exists a tension between exhaustiveness and representativeness, since in most cases it is impossible and may not be meaningful to achieve an exhaustive analysis of all available texts, and therefore sampling of

representative texts is necessary. There are both quantitative and qualitative requirements to fulfil in attaining representativeness. The quantitative criterion is that the sample should be big enough “to reach a certain level of predictiveness” with the aim of identifying patterns of behaviour, on the basis of which to conduct further qualitative analysis and to generalise conclusions about the hypotheses tested. Yet quantitative measurement needs to be supplemented with qualitative refinement since there are often extreme and unusual renderings that might disrupt regularities in behaviour. A translator may violate rules in exceptional cases, producing “a minority feature” or manifesting “idiosyncratic behaviour” that will give insight into more typical phenomena through close analysis (pp. 248-249). Moreover, Van Doorslaer (1995) stresses that qualitative investigation in translation research should take into consideration both textual and extra-textual materials. Extra-textual data include pragmatic information about the functioning of the text in a specific target culture and its impact on readers (p. 257, note 2), as well as “contextual, intertextual, and situational elements” related to the text (Holmes, 1989, p. 89, quoted in Van Doorslaer, p. 252). The information about “the medium, the publisher, and the author’s intention, place, time, etc.” serves to establish criteria for the selection of corpus even at the early stage of research, and later on for choosing the representative passages for critical analysis. He concludes that it is important to generate reliable findings on the basis of a translationally relevant corpus, which can be achieved with the appropriate use of extra-textual data (pp. 255-256).

7. Methodological Framework

7.1. Munday’s Systemic Model for Translation Description (2002)

In this section, I introduce Jeremy Munday’s (2002) systemic model for descriptive translation studies which is used as the theoretical framework of this thesis, and I will

illustrate how I apply it to my study. It is a systematic and replicable model designed to overcome the shortcoming of comparing source text and target text couple pairs on an ad hoc basis as in Toury's studies, and to interface text and context into a coherent method. The model brings together systemic functional linguistics, corpus linguistics and sociocultural framework within the tradition of descriptive translation studies. The three analytical tools of the model are briefly reviewed as follows:

1. Systemic functional linguistic: First, a repertoire of features is selected on the basis of Halliday's systemic functional grammar (SFG) to produce a linguistic profile of the source text, which is then compared to the corresponding profile of the target text to identify patterns of translation shifts. The linguistic analysis of textual features involves systematic study of the ideational, interpersonal and textual metafunctions of language.
2. Corpus linguistics: Corpus linguistics is a computer-assisted tool that can be used with systemic functional linguistics, enabling rapid and easy access to vast numbers of linguistic items. This is a useful tool for handling lengthy texts since all instances of lexical items can be called up in seconds. This prevents researchers from overlooking important data as might happen in manual analysis, and saves time by retrieving a particular item in its immediate context for close scrutiny.
3. Sociocultural contexts: The linguistic results are situated in the wider publishing, political and sociocultural settings with the purpose of probing into the motivations behind the translation shifts. This coincides with the way SFG relates linguistic options to their immediate contexts of situation and culture. In the examination of external contexts, Munday (2002) stresses that it should not be limited only to the target-text context as proposed by Toury, since the source-text sociocultural context may affect whether the text is selected for translation and the way it is handled in the target text system. Thus, both the

source-text and the target-text contexts should be taken into account in translation analysis (p. 78).

Munday applies the model to analyse three English translations of an essay by the Columbian novelist Gabriel García Márquez. He emphasises that the model can be adapted flexibly to the subject under investigation; for example, the SFG model, particularly for transitivity and textual features, may not work so well with non-European languages. Therefore, it can be adjusted to the target language studied; also, manual analysis can replace the computer tool in handling smaller corpora (p. 91).

7.2. Three-Phase Methodology for the Research

I have devised a three-phase methodology on the basis of Munday's systemic model (2002) introduced above to investigate the styles of the four Chinese translators in translating Hemingway's *The Old Man and the Sea* (1952).

The first phase is to locate the source text and the target texts within their historical and sociocultural contexts. I will explore both the source-text and the target-text contexts of production in an attempt to find out if there is a relation between the two. Regarding the source-text context, I will study the origin of the story of the novella, Hemingway's life in the 1950's and his theory of art as well as the reception of the novella. As for the target-text contexts, since the four translations fall into two different historical periods, I will review the prominent characteristics of foreign literature translation in China in the early Communist era from 1949 to 1966 and the period of reformation and opening to the outside world from 1978 to 1987, coupled with the translation history and criticism of Hemingway and *The Old Man and the Sea* in China. Moreover, I will research into the biographies of the four translators and the

paratexts and publishers of the four translations in order to understand better the location of the translators of their time.

The second phase is to compare the source text and target texts with a view to identifying translation shifts. I will apply Halliday's transitivity model (1994) and Simpson's model of point of view (1993) to produce a 'repertoire of features' of the source text, which is then compared to the corresponding profiles of the four target texts with the aim of classifying linguistic shifts. I examine the choices of the four translators made through the lexicogrammatical realisations of the transitivity system and modality in the four target texts, which belong respectively to the ideational and the interpersonal metafunctions of SFG. I am interested in exploring how the old man's worldview, experiences, attitudes and beliefs are presented through language and the way they are reproduced in the four translations. The two models offer me effective 'toolkits' to analyse and describe the texts.

My comparative analyses of the source text and the target texts comprise both quantitative and qualitative aspects. Quantitative analysis comes first. I will compile a comprehensive parallel corpus of the three-day battle in *The Old Man and the Sea* (about 85 pages, accounting for four-fifths of the book) on the basis of Halliday's transitivity model. I aim to identify differences between the four versions in comparison with the original in the translation of material, mental, behavioural, relational and existential process types. Following this, I will compile a mini-corpus of mainly the third-day's battle of the novella (about 32 pages, roughly one third of the book) according to Simpson's model of point of view. For this part, I focus on identifying shifts in the rendering of deontic, epistemic and boulomaic modal operators coupled with generic statements, direct speech (DS) and free direct thought (FDT) presentation as well as transitions of modes of point of view.

Quantitative analysis is then complemented by qualitative analysis by inspecting individual options within their immediate cotext and context. The qualitative analysis comprises two case studies. Case study one investigates a passage of sixty sentences from the climax of the third day's battle of the old man with the marlin and its four translations. I will select for close critical analysis those instances revealing distinctive individual styles in the translation of speech and thought presentation, modal expressions, material processes and circumstantial elements. The second case study focuses primarily on the rendering of lexis. A list of examples taken from the two corpora is selected for the analysis of the individual four translators' characteristic use of diction.

The final phase is explanation of the causes and motivations of translation shifts. I seek to relate the textual features identified to the specific sociocultural contexts of production in order to establish a possible causal relationship between them, in other words, to explore what may have caused the variation in the linguistic style between the four translators in translating the same text.

8. Outline of the Thesis

The thesis is divided into six chapters and a conclusion. Chapter one contains the literature review of the concept of style in translation, the theoretical approaches, methodological tools and framework adopted to conduct this thesis. Chapter two locates the source text and the target texts within their historical and sociocultural contexts. Chapters three and four apply Halliday's transitivity model (1994) and Simpson's model of point of view (1993) to the comparison of the source text and the target texts. They are quantitative analyses of the textual patterns of choices. Chapter five offers a qualitative or close critical analysis of two case studies. Case

study one examines a passage of sixty sentences from the climax of the old man's battle with the fish. Case study two focuses on the analysis of the characteristic use of diction in the four target texts. Chapter six discusses the possible motivations for the translation shifts. The conclusion reviews the aims and achievements of the thesis, presents my reflections on the merits and limitations of Munday's systemic model (2002) for descriptive translation research, and suggests further work that can be done. It will address, in particular, the issue regarding the applicability of the two linguistic models and the adjustments needed to make them fit for translation comparison as mentioned in the present chapter.

Chapter Two

Location of the Texts within the Sociocultural Contexts

1. Introduction

In this chapter, I attempt to research into the contexts of production of both the source text and the target texts in order to determine the specificities of each. I will concentrate on exploring the specific historical circumstances in which the texts were produced, the original author's life and concept of writing and the four translators' backgrounds as well as the reception of the texts. I will pay more attention to investigating the target-text contexts because I am interested in the relation between the target texts and the target text contexts. In addition to the broader context related to the situations of foreign literature translation in modern China, I will look into the translation history and criticism of Hemingway, reviews of *The Old Man and the Sea* as well as the biographies of the four translators, the paratexts and metatexts. I will begin with the sociocultural context of the source text (section 2), followed by those of the target texts (section 3). Finally, I will remark on the relationship between the source text- and the target-text systems observed.

2. Sociocultural Context of the Source Text

2.1. Origin of the Story and Hemingway's Life in the 1950s

The story of *The Old Man and the Sea* was first recorded by Hemingway in a 200-word version in an article on the Gulf Stream in 1936.⁷ The first-draft typescript of the work was released on 1 April, 1951. The manuscript was received by Scribner's on 10 March, 1952, published in full in *Life*, 1 September, 1952, and in

⁷ According to Baker (1972, p.294, footnote 10), the story of *The Old Man and the Sea* was first published in "On the Blue Waters," *Esquire* 5 (April 1936), p. 31, pp. 184-185.

book form by Scribner's a week later on 8 September, with the first printing of 50,000 copies sold out within 48 hours (Baker, 1972, pp.294-295; Tyler, 2001, p.129).⁸ *The Old Man and the Sea* won Hemingway the Pulitzer Prize in fiction in 1953 and the Swedish Academy's Nobel Prize for Literature in 1954. He was cited for "his powerful style-forming mastery of the art of modern narration." He said that he read through the manuscript two hundred times before releasing it. He also proclaimed, "What many another writer would be content to leave in massive proportions, I polish into a tiny gem" (Carey, 1999, p.8).

Before the release of *The Old Man and the Sea* in 1952, Hemingway was in a rather low tide of his life. The novels *The Garden of Eden* and *Across the River into the Trees* he wrote were both considered failures. Some critics commented that Hemingway was finished at that time (Nelson, 1984, pp.10-11; Carey, 1999, p.8). Indeed, it is a commonplace criticism of Hemingway that he retrogressed as an artist earlier after *A Farewell to Arms* from 1932 through 1937. The fiction and non-fiction he experimented with during that period, including *Death in the Afternoon*, *The Fifth Column*, *Green Hills of Africa*, and *To Have and Have Not* were all regarded as failures (Baker, 1972, Introduction, pp.xiv – xv). Also, in his fifties, Hemingway was troubled by a deteriorating health, by the fear of growing old and the anxiety of losing his "will," "initiative" and the "masculine role" (Cooperman, 1996, p.10). Politics and human relationships were no longer his concerns. His main interest was to preserve his manhood through proper actions. He began to withdraw from the world, seeking self-contentment through the lonely business of writing. *The Old Man and the Sea*, thus, is characterised peculiarly by the theme of "isolation," with Santiago struggling alone to confront his own fate (Cooperman, 1996, pp.24-52).

⁸ For more details about the origin of the story of *The Old Man and the Sea*, an acquaintance Hemingway knew in developing the character of Santiago, and the production process of the novella, see footnote 10 on pp.294-295 of Baker's (1972) *The Writer As Artist*.

2.2. Hemingway's Theory of Art

Hemingway thinks that a writer's duty is to invent truly without faking. He stresses that a genuine artist should be honest and simply put down in plain language what he directly sees and experiences. Therefore, his writings were created from his first-hand experience, as he often said, "I only know what I have seen" (Baker, 1972, p.48). Nelson (1984) explains that for Hemingway, to write truly means to "describe life as it is, not as it ought to be" (p.26). That's the reason why his writings generally focus on real people in real situations, describing actions concretely without much intellectual discussion (ibid.). In addition, Hemingway aimed to make his readers hear, feel and see through writing (Baker 1972, p.74), as he once said to Samuel Putman in the late 1920s: "Put down what I see and what I feel in the best and simplest way I can tell it" (Samuel Putnam, 1947, pp.128-129, quoted in Baker, 1972, p.54). Baker (1972) suggests that the primary intention of Hemingway's writing, "from first to last, was to seize and project for the reader what he often called 'the way it was' (p. 48). "Baker elaborates further that there are three "esthetic instruments" constituting the core of Hemingway's concept of writing; they are "the sense of place, the sense of fact, and the sense of scene" (ibid.) Thus, in Hemingway's works, the geographical background of the story, the facts about the plots and characters, and the specific scenes in which events happen are often provided clearly (pp.52-54). Another prominent aesthetic principle of Hemingway is his theory of omission. He thinks that to write with economy of language can create an impact on readers, which is even more powerful than to expound. He expresses his theory of omission by the famous analogy of an ice-berg in Chapter xvi of his *Death in the Afternoon* (1932):

If a writer of prose knows enough about what he is writing about he may omit things that he knows and the reader, if the writer is writing truly enough, will have a feeling of those things as strongly as though the writer has stated them. The dignity of movement of an ice-berg is due to only

one-eighth of it being above water. A writer who omits things because he does not know them only makes hollow places in his writing (quoted in Peterson, 1974, p.106).

According to Hemingway, a large part of the iceberg, almost seven-eighths of it, is underneath the water, while only one-eighth of it is exposed. Yet, surprisingly, it is the invisible part of the iceberg that functions as the engine and sustains it to move freely in the water. A similar truth is revealed in the art of writing. As the underlying meanings are often hinted at rather than stated explicitly in Hemingway's writings, his works are highly suggestive, revealing submerged levels of meaning for readers to discover by themselves (Nelson, 1979, p.53).

2.3. Interpretations of *The Old Man and the Sea*

The Old Man and the Sea is highly suggestive, allowing much room for different interpretations. As Hemingway said about his aim of writing the novella:

I tried to make a real old man, a real boy, a real sea and a real fish and real sharks. But if I made them good and true enough they would mean many things (*Time* 64 December 13, 1954, p.72, quoted in Baker, 1972, p.323).

Baker (1972) also remarks that *The Old Man and the Sea* is a representative piece of "open literature." The work "means more than it directly says" (p.322); it evokes deep responses of readers because of "the double or triple significations" it possesses (p.291). Given the rich emotional suggestions of the novella, critics are open-minded to multiple interpretations of the story. As Cooperman (1996, p.74) comments on the meaning of the young lions in Santiago's dream:

...one of the major characteristics of literary symbol is that no single meaning can be attached or "fixed" to the symbol itself – at least not

absolutely to the complete exclusion of other possibilities. For this reason, it is very difficult – and perhaps not even desirable to fix one “meaning” to the symbol of the young lions in Santiago’s dream.

There has been debate about whether *The Old Man and the Sea* should be read literally or symbolically. Baker (1972) suggests that the work could be read both factually and symbolically. As he puts it, the work demonstrates “Hemingway’s skill in joining nature and art, the truth of things and the poetry of thing” (p.xix). Nevertheless, it was not Hemingway’s original intent to have the work read as “symbols.” He was strongly against a symbolic interpretation of the novella. He told a critic, recounted by Baker that “sea equaled sea, old man was old man, the boy was a boy, the marlin was itself, and the sharks were no better and no worse than other sharks” (Baker, 1969, p.505, quoted in Valenti, 2002, p.15).

One common interpretation of *The Old Man and the Sea* is to view the story as a biography of Hemingway. Indeed, a biographical account of the novella appeared in the September 1952 edition of *Life* magazine, suggesting that both Santiago and Hemingway shared many similarities. They both suffered from old age, loneliness and hardship. Santiago caught no fish for a long time, Hemingway suffered from a declining reputation as an artist, and he had doubt whether he was past his prime in his fifties. Furthermore, they were both perfectionists in their jobs. Finally, they both faced their enemies in their lives – “sharks” and “critics” – who made negative comments on his works (Valenti, 2002, p.14).

The “Hemingway code hero” was an image popularly received by Western readers. The Hemingway hero is “a man of action,” “integrity” and “resourcefulness,” who will stay calm in the face of chaos. He is reticent about all kinds of pain and suffering he bears. He confronts death alone with courage, strength and dignity (Nelson, 1984,

p.27; Carey, 1999, pp.40-43). Such a hero lives in the “here and now,” focusing on what he “sees and hears and touches and tastes and smells” rather than thinking about intangible things (Nelson, 1984, p.28). Like Santiago, he strives to maintain his manhood even though he is troubled by his old age and loss of vigor (Cooperman, 1996, p.18). Overall, the “Hemingway code hero” is a model hero who manifests the noble quality of “grace under pressure” (Carey, 1999, p.42; Graham, 1994, p.9).

3. Sociocultural Contexts of the Target Texts

3.1. Foreign Literature Translation in China (1949-1966, 1978-1987)

3.1.1. Area of Focus and Sources of Information

Since my research on the four Chinese translations of *The Old Man and the Sea* covers the period from 1956 to 1987 (the earliest translation was done in 1956 and the three others in 1987), in the following sections 3.1.2. and 3.1.3., I will first provide a brief review of the prominent characteristics of foreign literature translation in China, particularly American literature translation, from the establishment of the People's Republic of China (PRC) in 1949 to the Cultural Revolution in 1966 as one major period; and in the post-Mao era from 1978 to 1987 as another. The aim is to explore how the activities of foreign literature translation in different periods in China were closely related to their political, social and cultural systems of the time. I will focus on outlining the major historical events that surrounded literary translation in China, the types of works selected to be translated, the important translation events and their impact, coupled with other information about the situations of foreign literature translation in China in the two specified periods studied. In addition, in section 3.1.4., I will briefly review the controversial issues on literary translation hotly discussed among Chinese translation theorists in twentieth-century China, summarised mainly from Chan's (2004) *Twentieth-Century Chinese Translation Theory*, as some crude

insight into the general preferences for the translation strategies used by literary translators at different periods of the translation history of China.

The information introduced in sections 3.1.2. and 3.1.3. is reviewed mainly from Wang Qijian (1995) *The History of American literature translation in China*, Sun Zhili's (1996) *On Translations of British and American Literatures of the PRC from 1949 to 1966*, Meng Zhaoyi and Li Zaodao's (2005) *The History of Literature Translation in China*, together with comments by Chinese translation scholars on literary translation in China such as Wong Wang-chi (1999), Xie Tianzhen (2000, 2003) and Fan Shouyi (1999) since these are the major works that contain information about the historical context and different characteristics of foreign literature translation in China for the two specific periods of my research⁹. Indeed, research on the history of literature translation in China is still in an infant stage, which is not yet substantial, particularly for the period of the new epoch since 1978. Moreover, research on the history of literature translation in China has tended to focus on providing a factual account of the translation events, the important translators, the original writers and their works translated rather than looking into the transmission, reception and impact of foreign literature translation on the target culture by relating the translation activities to their particular historical and sociocultural context of production. This kind of study, according to Xie Tianzhen, can be viewed more as "a history of literature translation" rather than "a history of the translation of literature" in China (Wong, 1999, p. 58; Xie, 2003, p. 186)¹⁰.

⁹ Wang's (1995) work is written in English as a published PhD thesis of New York University. It introduces specifically the history of American literature translation in China from 1784 up to 1995. Sun's (1996) work provides an overview of British and American literature translation in China from 1949 to 1966. Meng and Li's are a recent work (2005) covering an extensive review of the history of literature translation in China from 1897 to the 2000s. Wong's (1999, pp. 40-56), Xie's (2000, pp. 51-66; 2003, pp. 162-175) and Fan's (1999, pp. 165-173) works contain comments on the prominent characteristics of literature translation in China from the late Qing up to the new era of the 1980s. Except for Wang's and Fan's works, all others of these sources of information are written in Chinese.

¹⁰ Factual accounts of the history of literature translation in China include Ma Zuyi's (2006) *A*

3.1.2. Foreign Literature Translation in China: 1949-1966

The history of foreign literature translation in modern and contemporary China is filled with tribulations and zigzags; each period has its own unique characteristics. Nevertheless, they share a common pragmatic orientation, particularly the period from 1919 to 1949, which carries over to the next period from 1949 to 1966. Regarding the utilitarian nature of foreign literature translation in China, Wang Jiankai (2003) comments that from the May Fourth Movement in 1919 up to the establishment of the PRC in 1949, literature translation in China tied in closely with the political and historical climate of the country to serve a pragmatic function. This was a particular characteristic of British and American literature translation throughout their history in modern China (pp.295-296). For example, during the Anti-Japanese War (1937-1945), those foreign literary works serving to strengthen the fighting spirit of the Chinese nation were selected to be translated, regardless of who the authors were. Literary merits were less considered. During the Spanish Civil War (1936-1939), anti-facist foreign literature was also widely translated for fighting against world facism and the Japanese invasion. In fact, the pragmatic function of foreign literature translation was spelt out and reinforced further by Mao Zedong, in his "Talks at the Yan'an Forum on Literature and Art" (delivered in May 1942), which had a profound influence on the value orientation of art and literature over the second half of the twentieth century in China. He advocated that literary creation should serve the masses; and literature and art should be subordinate to politics. Political criteria should be the first priority in assessing the quality of literary works. Mao's attitude towards foreign literature greatly influenced many left-wing translators and

History of Translation in China, which provides a comprehensive overview of the history of translation in China in five volumes from the period before the May Fourth up to the 2000s of contemporary China; Chen Yugang's (1989) *A History of China's Translated Literature*, covering the period from 1840 to 1966, and Guo Yanli's (1998) *An Introduction to the Modern Translated Literature of China*, covering the late Qing to the early Republican period. All these works introduce the history of foreign literature translation in China in different periods though they are inadequate as quality translation research, as Wong Wang-chi remarks (1999, pp. 58-59).

literary writers, and aroused many hot debates on foreign literature translation during that time (Wang Qijian, 1995, pp. 312-313, 323-326; Fan, 1999, p. 170).

As a continuation of the preceding period since the May Fourth Movement, the type of literary works translated the most during the period from 1949 to 1966 was Russian literature, especially Soviet literature after the October revolution, realistic foreign literature and literature of weak and small nations in the world. Russian literature outnumbered other types of foreign literature translation since it demonstrated a successful experiment of socialism and showed sympathy for China's nationalist and communist revolutions. The extensive translation of Russian and Soviet literature laid a firm ground for the formation of "proletarian literature" which dominated the literary scene of China until the 1980s. As for American literature translation, it was oriented to left-wing American writers who served the interests of the communist writers and translators under the pervasive influence of the international proletarian literary movement. The American writers whose works translated the most were those praised by Lenin and Stalin such as Jack London and Walt Whitman respectively; leftist writers working for the masses such as Michael Gold, Upton Sinclair; and those exposing the dark side of capitalist society such as Mark Twain, O. Henry and Edgar Allan Poe. The greatest contribution in American literature translation during the civil war (1945-1949) was made by Chen Guang Press in launching the American Literature Series in March 1949, which included eighteen classics in twenty volumes of important writers such as Dreiser, Anderson, Hemingway, Faulkner and others.

Overall, foreign literature translation in modern China was used as a means to arouse national consciousness, to strengthen the Chinese nation, to advocate communism and to intensify the class struggle against capitalism and the Japanese

aggression. Although there had been a controversy among Mao Dun, Zheng Zhenduo and Guo Moro over the right of the translator to select his own works to translate as his own creation, political criteria soon replaced artistic criteria for literature translation, which eventually degenerated into a means of ideological propaganda (Wang Qijian, 1995, p. 246-249, 300-301, 306-309, 339; Ma, 1995, pp. 385-386). Regarding the predominance of the political over literary and poetic functions of literary translation in China, Xie and Cha (2000) comment that in view of the context of twentieth-century China, ideally, fiction translation should fulfill both a political requirement as “an enlightenment literature” and an artistic requirement as “a literature to enlighten.” Nevertheless, in reality, these two kinds of requirement often could not co-exist together but formed two oppositional forces to compete for a single place. Fiction translation in China swung between these two extremes; and most of the time the political requirement, that is, the ideology of a literary work, was placed above its artistic merits as the primary criterion for the selection of the work to translate (p. 54).

In the newly-established PRC in the 1950s, foreign literature translation continued to serve the political functions of uniting the Chinese people to fight the enemy and to construct socialism. A series of political and criticising campaigns was launched one after another to orient the minds of translators and writers to self-censor their own translations and publications. Regarding American literature translation in this period, Wang Qijian (1995) notes that: “1) the CCP [the Chinese Communist Party] did not have a plan in American literature translation and publication at that time; 2) the translators were very cautious and not willing to translate any new American literary works that might not be published; and 3) the publishers were smart enough to select those American authors and works that had been introduced in the Soviet Union and had been translated and published and sold well in China in the 1930s and 1940s to

be published again” (pp. 353- 354, my emphasis added).

On 25 June, 1950, the Korean War began. The U.S. assisted South Korea while China supported North Korea. The U.S. was viewed as the prime enemy of China. Consequently, the number of American literary works translated dropped abruptly. All of the American writers translated during the Korean War were communists or socialists, who were sympathetic towards American workers and the poor, and were critical of the American capitalist system; they included Theodore Dreiser's *An American Tragedy*, Jack London's *The Strength of the Strong*, John Reed's *Daughter of Revolution*, and similar works. In July 1953, the Korean War ended. The war reinforced the wicked image of Western imperialism and thus those works revealing the “wicked nature” of U.S. imperialism were selected for translation. In fact, 1953-1959 was viewed as “the golden age” of American literature translation in the thirty years following the establishment of the PRC. Another factor contributing to the drastic increase in the translation of American works at that time was that “China was in a comparatively peaceful international environment (although it was involved in the Vietnam War against the French and was under military tension with the GMD [Guo Min Dang or the Chinese Nationalist Party] troops in the Taiwan Strait); the result was that 136 American literary works were thus translated and published” (ibid., pp. 356-357, p. 362, my emphasis added). Nevertheless, only those American literary works serving to consolidate the communist ideology or “proletarian politics” were translated, thus giving Chinese readers a biased depiction of America. The true revolutionary spirit developed in the May Fourth towards foreign literature translation soon faded (ibid., pp. 357-361, p. 374).

From 1960 to 1964, only 25 American literary works were translated and published. China was involved in new conflicts with other foreign countries. Since then China

was again surrounded by enemies. Therefore, she adjusted herself to closed-door diplomatic and cultural policies, and prepared for the internal “class struggle” designed to expel “the agents of U.S. imperialism and Soviet revisionism” (ibid. p. 363). This led to an abrupt decline in the number of American literary works translated. In September 1965, Mao Zedong called for criticism against “reactionary bourgeois ideology.” As a result, no American literary works were translated in 1966, and consequently China was engaged in the “Great Proletarian Cultural Revolution,” which lasted from 1966 to 1978. American literature translation became barren during that period (ibid., pp. 362-365). Wang Qijian reviews that in the history of American literature translation in China, “[t]he most prolific time was between the end of the Korean War (1953) and the beginning of the Sino-Soviet Conflict (1959). In those seven years, 136 works of the total 228 were published. The leanest time was between 1965 and 1973. China was involved in the Vietnam War against the United States and the border war against Soviet Russia when no American literary works were translated and published at all” (ibid, p.373).

From May, 1966, May to November, 1971 during the Cultural Revolution, no foreign literary works were translated, and those distinguished foreign literature translated and published before were criticised as “feudalistic,” “capitalistic,” and “revisionistic” (Meng & Li, 2005, p. 390). Generally, there were three types of translated foreign literature found from 1960 to 1976 in China – (1) those for open publication, (2) those for internal distribution, and (3) those which had not been released until after the smashing of the Gang of Four (ibid.). Those works translated and published openly in the form of books or journals were usually sourced from the People’s Democratic countries which remained on good terms with China such as Vietnam, Cambodia, Albania, Korea and Mozambique. A limited number of other works were reprinted, revised or retranslated versions of the famous Russian literature released before

(ibid., p.391), including Gorky, Maksim's *The Mother*; Fadeyev, Aleksandr Aleksandrovich's *The Young Guard*; Ostrovsky, Nikolai Alexeevich's *How the Steel was Tempered*; and those of the Japanese literature including Kobayashi, Takiji's *Crab-Canning Boat* and *The Absentee Landlord*. All these were regarded as real proletarian revolutionary literature (Xie & Chan, 2000, p.58). Regarding those translated literary works for internal distribution, they are generally intended for a limited readership of specialised units or organisations concerned as references for critical evaluation or research. These works usually depicted the social, political and economic situations of Russia, Japan and America. They were known as "yellow books" labelled after their yellow cover produced specially as counter-models and materials for criticism against imperialism, revisionism and the bourgeois ideology through which to reaffirm the value of class struggle and progressive revolutionary literature (Xie, 2003, p. 168; Xie & Cha, 2000, p.59; Meng & Li, 2005, p. 394). Among these works circulated internally, Russian literature accounted for the dominant portion including Shamiakin, Ivan's *Snowy Winters*; Kochetov, Vsevolod Anisimovich's *What is It You Want?*; Aitmatov, Chingiz's *The White Ship*; Bondalev, Yuri Vasilievich's *Warm Snow*. Second to this category were Japanese literary works such as Yikio, Mishima's *Patriotism* and *The Sea of Fertility Tetralogy*; Togawa, Isamu's *Shōsetsu Yoshida Gakko* (about Japan's politics and government); Nihon, Tinbotsu's *Japan Sink*, and Sawako, Ariyoshi's *The Twilight Years*. Compared to Russian and Japanese works, American literature were the least translated, including Bach, Richard's *Jonathan Livingston Seagull*; Segal, Erich's *Love Story*; Welty, Eudora's *The Optimistic Daughter*; Calmer, Ned's *The Avima Affair*; Wouk, Herman's *The Winds of War*; and Michener, James Albert's *Centennial* (Xie and Cha, 2000, p.59, p. 69, footnotes nos. 24 and 25; Meng & Li, 2005, p.394)¹¹. Last, there

¹¹ For information about the list of foreign literature translations produced specially for internal distribution during the Cultural Revolution, see the National Comprehensive Catalogue of Publications for Internal Distribution (1949-1966) [Quangguo Neibu Faxing Tushu Zhongmu],

were a small number of literary works translated secretly and unpublished from 1966 to 1976 since they opposed the literary mainstream of the time, and were released only in the first few years after the end of the Cultural Revolution (Meng & Li, 2005, p. 391).

A prominent characteristic of foreign literature translation in China from 1949 to 1966 that distinguished it from the previous period was that it soon became a collective enterprise that was organised and planned carefully under the supervision of the party or government. This contributed to an improvement in the quality of literary translations. In the early 1950s when the PRC was newly established, a series of political campaigns took place that severely jeopardised foreign literature translation in China. The translation and publication of foreign literary works was still in a state of chaos as before. In 1949, the Translation Bureau of the National Publishing General Administration of the Central People's Government (Zhongyang Renmin Zhengfu Chubanshu Zongshu Fanyiju) was established to develop the work of translation and publication in China. In order to combat lack of planning, sloppiness and abuse in the translation of foreign literature, the party and government departments concerned worked collaboratively to implement a series of measures such as restructuring publishing houses, establishing translation journals and organisations, exchanging information about the selection of texts for translation, establishing a monitoring system for revising translations, promoting translation criticism and self-criticism, training translators, and so forth so as to organise systematically the work of foreign literature translation and to improve the quality of translations. In addition, the first national conference on translation was held in 1951, followed by another one on

published by Zhonghua Shuju (no year of publication). For information about the series of earlier Russian, American and Japanese literary works reprinted, revised or re-translated for open publication and internal distribution from 1960 to 1976, see the cross reference: McDougall's (1971) *The Introduction of Western Literary Theories into China, 1919-1925*.

literary translation in 1954, which both had a significant impact on literature translation in China in this period as briefly introduced in the following (Sun, 1996, p. 4, p. 7, p. 184, p. 189; Fan, 1999, p. 172).

In November, 1951, the first national conference on translation was held to discuss the planning of the work of translation and the improvement of the quality of translations in the new China. It was proposed that the latest information about a list of works scheduled to be and being translated by the translation organisations concerned should be published in the monthly *Translation Bulletin* [*Fanyi Tongbao*] to avoid repetition in translating the same work; and a collaborative system between publishers, translators and editors should be set up to monitor the quality of translations. Finally, two proposals concerning the regulations of merging the public and private publishing houses and the collaboration between translation houses and editorial organisations in the translation and publication of books were approved (Meng & Li, 2005, pp. 284-285).

A few years later, a national conference on literary translation was held in August 1954 by the China Writers Association. It had a profound impact on the future development of foreign literature translation in China by providing a direction and setting the objectives for it. In the conference, Mao Dun, the Minister of Culture and a distinguished writer and literary translator, presented a comprehensive report entitled “To Strive for the Development of Literary Translation and the Improvement of Translations in Both Quantity and Quality” (Wei Fazhan Wenxue Fanyi Shiye he Tigao Fanyi Zhiliang er Fendou), which formulated some guidelines for translators to follow in translating. He proposed that the work of literature translation should be organised and planned systematically by drafting a plan commonly shared among literary translators for the selection of works to translate; and by setting up a

monitoring system by coordinating the work of translating, editing and proofreading according to the availability of manpower and resources by publishers. More importantly, he stressed that literary translation should be enhanced to the level of artistic creation by strengthening translation criticism and self-criticism. Since then there arose a movement to clear “translationese” among literary translators, who aimed to produce a translation that was not like a translation, but more like a “creative writing” that could preserve the “spiritual resonance” of a work to the “realm of transformation” (ibid., pp. 287-288, 290-293). Moreover, after the 1954 conference on literary translation, the government restructured further the publishing houses by merging some private with public ones as joint ventures in the translation and publication of books. Eventually, the translating and publishing of literature was mainly handled by two state-owned publishing houses – Renmin Wenxue Publisher and Shanghai Xinwenyi (later renamed as Shanghai Wenyi) Publisher. Under their management, foreign literature translation in China became structured and planned, and the quality of translations generally improved (Sun, 1996, pp.4-5).

Sun (1996) comments that there were many commendable translations of British and American literature produced in the five years after the 1954 conference. They are generally regarded as faithful and fluent, achieving a very high standard (pp. 4-5, p. 8, pp. 186-187, p. 192). Similarly, Wang (1995) mentions that under a highly-planned economy, only the best translations could be accepted by the state-owned publishing houses, and many translators could devote more time to polishing their works since they were assigned fewer tasks (pp. 376-377). Nevertheless, there is some negative opinion about foreign literature translation in China done from 1949 to 1966. Wong (1999) criticises the fact that foreign literature translation produced during this period in China was highly selective and biased towards the party under their collective planning. The predominance of Russian and Soviet literature translation was striking

(3,526 types, accounting for 74.4 % of the total number of foreign literary works translated from October, 1949 to December, 1958) (Bian, 1959, p. 47, in Wong, 1999, p.47); while some lower quality works from Eastern Europe and literature of particular nations of Asia, Africa and Latin America were translated in significant numbers simply because they served to consolidate socialism (Chen, 1989, p. 351; Xie & Cha, 2000, pp. 56-57). Wong (1999) remarks that the predominance of ideological over literary considerations in China was most prominent in this period (1949-1966), in contrast to the previous period (1919-1949) which still witnessed a certain absorption of new poetic elements into the translated works (pp. 44-47).

3.1.3. Foreign Literature Translation in China: 1978-1987

In July 1977, Deng Xiaoping reassumed his previous positions; and in August that year, the Cultural Revolution was declared ended. China entered a new epoch after the CCP conference of December 1978 (Third Plenum, Eleventh Central Committee). Things began to change after that in foreign literature translation. This was the post-Mao era under the paramount leadership of Deng Xiaping, who adopted the policies of “accelerating economic development and opening the door to the outside world” (Wang Qijian, 1995, p. 379). This was also a prosperous period in American literature translation, against the background of ideological liberation and the open policy. American literature soon replaced Russian literature as the major type of literature translation in this period. Two significant events had a direct impact on American literature translation. The first was that a group of critics and translators of American literature stood up against the one-sided values imposed on contemporary American literature by the communist authorities. The second was that the Chinese government withdrew its financial support for the publishing houses that they had given to them in the past thirty years. Consequently, the publishing houses became privately-owned and began to assume sole responsibility for their profits and losses

(ibid., pp.379-380).

The group of translators and critics that stood up to challenge the communist ideology were mostly intellectuals who had studied English before the communist takeover and started their career as translators or critics in the 1950s. However, they were badly paid and served more like apprentices in academic institutions and publishing houses. In the 1950s and 1960s, they wrote many articles to criticise modern and contemporary American literature on the side of the government. Yet as they caught up with the latest research on modern and contemporary American literature, they began to develop a more complete view about it and even began to challenge Marxist literary theory on modern Western literature and Mao's literary doctrines expounded at Yan'an. In the 1980s, this group of intellectuals were already in their fifties. They were among the very few Chinese who had some first-hand knowledge of the outside world, since there were no English courses offered from 1953 to 1959 and from 1966 to 1972 in all Chinese high schools, colleges and universities. Therefore, they played an important role in re-evaluating contemporary American literature and introducing American literary works to Chinese readers (ibid., pp. 381-382).

In 1978, the Chinese Academy of Social Sciences established its Graduate School and began to offer M.A. and PhD programs in English and American literature. They considered that the old Soviet or Marxist doctrines were against the international intellectual trend, and strove to import modern and contemporary American and English literature, including literary theories and criticism of various schools. This paved the way for publishing more translations of American literary works after 1978 (ibid. p. 389). At the same time, the government began to withdraw from supporting the publishing houses because they showed repeated deficits. As a result, the

publishing houses became market-driven, producing more profitable translations of foreign literature and fewer ideological and political books that were not popular in the market. From 1980 to 1982, the number of American literary works translated and published increased steadily; from forty-six in 1980 to seventy in 1981 and eighty-two in 1982. They were usually printed in large quantities, usually over 20,000 copies, some even exceeded 300,000 copies (ibid., p. 390, p. 392).

1985 and 1986 was another boom in American literature translation in China. There were 98 and 127 American literary works translated and published respectively, composed evenly of serious and popular literatures. Many local publishing houses used the profits they gained from selling popular American literary works to subsidise the publication of serious works, though that could not make much money at all. The editors of some publishing houses favoured those American literary works that could bring them both profits and fame. Profits replaced ideological considerations as the most important concern in the translating and publishing of literature (ibid., p. 397, pp. 401-404, p. 414). Readers particularly enjoyed popular American novels, science fiction, detective stories and biographies, but they also read American classics by outstanding modern writers like Mark Twain, John Steinbeck, Theodore Dreiser, Ernest Hemingway and Jack London. Most of the Chinese versions of these American classics had been published before and they were reprinted in very large numbers. Other American writers newly translated were such as Henry James, Robert Frost and F. Scott Fitzgerald (ibid., p. 408). American entertainment literature had become more and more popular as the book market had become more and more commercialised since the 1980s. In 1987, there were altogether 163 American literary works translated and published in China, 80 % of them were popular literature. There had been less and less American classics being translated and published from 1987 onwards. Nevertheless, since the 1980s, for the first time in history, American

literature had replaced Russian and Soviet literature as the most translated foreign literature in China. For example, there were sixty-one American works, thirty-eight Russian works, thirty-six French works, thirty English works and fourteen Japanese works translated and published in China in early 1992. However, the market was dominated primarily by American best-sellers rather than by classics, and the quality of the translations of American literature generally deteriorated, except for those of American classics (*ibid.*, p. 416). Ye Shuifu points out that this might be due to the casual attitude and incompetence of translators, and more importantly, to lack of communication and collaboration between publishers and journals in exchanging information and working together to monitor the quality of translations, resulting in chaos and a waste of resources in translating and publishing. This, to a certain extent, reveals that the considerations of economic benefits were valued more than those of social benefits in literature translation in this period in China (Meng & Li, 2005, p. 404).

A prominent characteristic of foreign literature translation in China in this period (1978-1987) that distinguished it from the previous period (1949-1966) was that there was a vast amount of modernist literature translated. It helped Chinese readers to understand better the western capitalist countries and to learn their innovative techniques of literary creation. Modernist literature was no longer rejected and criticised severely as it was in the 1950s and '60s. Instead, there arose a fashion for "modernism" in the first half of the '80s, and modernist literature was translated extensively in the latter half of the '80s. Modernist schools and techniques such as symbolism, expressionism, stream-of-consciousness, existentialism, drama of the absurd, black humour were introduced to Chinese readers (Meng & Li, 2005, p. 402).

Xie and Cha (2000) observe that there was less ideological control over fiction

translation in the new era of China since the 1980s. Fiction translation had been re-oriented from the previous political base to a literary base by replacing the political criteria with the literary criteria for translation. However, in the several years after the Cultural Revolution, the leftist ideology was still dominant in the literary scene. Realistic literature critical of the western capitalist countries was still the literary mainstream. Realism remained the only yardstick against which the value of a literary work was measured. It also constituted the main translation norm. In these circumstances, the translators had to take into consideration both the ideological and the artistic elements in translation. In order not to conflict with the prevailing ideology at the time, to protect themselves from political risks yet to introduce the new modernist techniques to Chinese readers in better harmony with realism, there often existed a tendency for the translators to write a critical commentary in the preface to their translation, criticising the text translated according to the frame of realism to show their support for the realistic mode (pp. 61-66; Xie, 2003, pp. 170-174).

The introduction of creative modernist techniques through the translation of Western fiction made an important contribution to the formation of modern Chinese literature, as revealed noticeably from the shift of narrative patterns of Chinese fiction. Chen Pingyuan (1988) observes that there were three kinds of shifts – “the shift of patterns in the temporal sequence of narration (pp. 37-64), the shift in narrative voice (pp. 65-105) and in structure of narration (pp. 106-144). New expressions were assimilated into the Chinese language, enriching both its syntax and vocabulary, despite initially vehement objections” (quoted in Fan, 1999, p. 173). Similarly, Guo Yanli (1998) comments that translated western literature brings into modern Chinese literature new insights in the experimentation with innovative narrative techniques such as first-person narration, narration of events in a reversed rather than a chronological sequence; concrete, vivid and distinctive description of characters, and

the use of monologue in psychological novel (pp. 501-508).

3.1.4. Issues of Debate in Literary Translation in Twentieth-Century China

Theoretical discussion on literary translation in twentieth-century China had been centering around issues such as the nature and function of translation, Europeanization in translation, the criterion of fidelity, whether translation should be viewed as an act of creation as much as original writing, literalism and liberalism, foreignization and domestication, translation as art and as science, formal and spiritual resonance. All these hotly debated issues were raised by Chinese translation theorists in the 1920s and '30s and continued to be discussed throughout the century. The antithesis between “literal translation” or “word-for-word translation” (直譯) and “sense translation,” “sense-for-sense translation” or “free translation” (意譯) has been the most controversial issue among Chinese translation theorists up to the present. Almost all of the leading theorists and scholars have opted for one approach or the other on their own ground (Chan, 2004, p. xiii, pp. 15-16, p. 179).

Yan Fu's three principles of translation – fidelity (信 xin), fluency (達 da) and elegance (雅 ya) had been widely referred to in theoretical discussions in twentieth-century China. They were upheld as a yardstick for translation for more than eighty years after they were formulated. Though there had been suggestions to replace “elegance” with other principles, the importance of fidelity and fluency had been commonly maintained as the primary criterion for translation (ibid., pp. 4-5). In the 1950s, Fu Lei's and Qian Zhongshu's respective notions of “spiritual resonance” (神似 shensi) and “realm of transformation” (化境 huajing) were most influential and for some time beyond in the field of literary translation. Fu Lei compared the craft of translation to painting, which should aim to reproduce the effect of closeness of spirit

rather than form, similar to the preservation of an inward “soul” rather than an outward “form” of a literary work. Qian’s “realm of transformation” described the highest standard of literary translation, by which the language of a work is transformed into another one without leaving any trace of awkwardness due to the language differences or losing the slightest flavour of the original. This is analogous to the transmigration of souls, wherein the body undergoes a transformation, but the soul remains unchanged. All these influential views on translation contributed to a greater emphasis on fluency and expressiveness, the preference for naturalised translation; and a complementary integration of literal and free translation (Liu, 1995, pp. 1031-1032; Chan, 2004, p.6, pp. 8-9, p. 28, p. 32).

The issue concerning the proper language to be used for translation into Chinese, and the extent to which Europeanized expressions and structures should be absorbed to enrich the modern vernacular Chinese had been fiercely discussed among Chinese translation scholars, particularly in the early 1930s, the '60s and the '70s. The debate was concerned with the choice between word-for-word translation and sense-for-sense translation, or Europeanization (foreignization) and Sinicization (domestication) methods of translation by adhering to the principle of fidelity or to that of fluency (Chan 2004, p. 20, p. 151). Lu Xun was a champion of Europeanization. He upheld the principle of faithfulness and practised “word-for-word translation” or “stiff translation” to an extreme. He believed that Europeanized structures and expressions could be imported to rejuvenate the Chinese language. This view was opposed by Qu Qiubai, who advocated an “absolute vernacular” based on the spoken language of the commonfolk. He proposed that modern vernacular Chinese could be best enriched through the absorption of indigenous dialectal features rather than through the importation of foreign features. Similarly, Hu Shi strongly promoted the vernacular but railed against Europeanization of the

Chinese language since he thought that the best written language is one that is spoken by the masses. Other theorists such as Mao Dun and Zheng Zhenduo supported limited Europeanization. They thought that while it was necessary to reform classical Chinese through certain absorption of Europeanized expressions, the language of translation must still read like idiomatic Chinese. Other important theorists like Zhou Zuoren and Fu Lei were in favour of the use of literary language rather than the vernacular as a medium of translation since it is easier to use, more systematic and more “refined.” In fact, there had been an accepted norm in translation for some time in China that the language of translation “must read like Chinese” (ibid., pp. 17-18, pp. 20-23, pp. 151-152).

The 1990s again highlighted Chineseness, as represented by Shen Xiaolong’s rejection of the Western linguistic models for explaining the Chinese language and Zhang Yiwu’s proposal to re-introduce features of the classical language, which had been criticised since the 1910s, into contemporary written Chinese. In fact, throughout the twentieth century, the overall approach to translation was oriented more towards Sinicization or domestication rather than Europeanization or foreignization. There had been recurrent calls to use a “pure” Chinese language in translation to prevent the language from being contaminated by the introduction of Europeanized structures and expressions (ibid., p. 30, p. 34, p. 37). Similarly, Sun (2002) comments that in the hundred-year history of foreign literature translation in China, except for the decade and several years after the May Fourth Movement, the method of translation was dominated by domestication until the last two decades of the twentieth century, in which there emerged new reflections on domestication and foreignization with the widespread introduction of Western translation theories (p. 42).

3.2. Translations of Hemingway in China: 1929-1987

3.2.1. Area of Focus and Sources of Information

In this section, I will provide a brief review of the translation of Hemingway in China in three different phases: 1929-1949 (section 3.2.2.), 1950-1977 (section 3.2.3.), and 1978-1987 (section 3.2.4.). The aim is to explore the specific historical and socio-cultural circumstances under which the four Chinese translations of *The Old Man and the Sea* were produced within the whole history of the translation of Hemingway in China, beginning with the translation of “The Killers” in 1929 up to the peak period in 1987. The information introduced in this section is based primarily on Qiu Pingrang’s *The Study of Hemingway in China* [*Haimingwei Yanjiu Zai Zhongguo*], and Yang Renjing’s *Hemingway in China* [*Haimingwei Zai Zhongguo*], both published in 1990. Although both studies do not go much beyond a factual account of the important translation events, the works of Hemingway translated and readers’ reactions to some of them, the names of the translators and the years of publication; they still provide systematic and useful information about the historical context of the translation of Hemingway in China in different periods. Qiu proposes that there were two peak periods in the translation and reception of Hemingway in China, and he divides the study of Hemingway in China into three periods dated from 1929 to 1987, as briefly reviewed below.

3.2.2. The First Phase: 1929-1949

Hemingway was first introduced to China through the translation of his short story “The Killers” by Huang Jiamo in 1929; it was retranslated by Huang Yuan in 1933 on the assumption that Hemingway’s works still had not been introduced to China. In this period, a number of Hemingway’s major works were translated and published, including *A Farewell to Arms* by Yu Xi in 1939 and then by Lin Yijin in 1941; For *Whom the Bell Tolls* by Xie Qingrao in 1941; *Caporetto* (excerpts from *A Farewell to*

Arms, For Whom the Bell Tolls and *To Have and Have Not*), and two collections of short stories – *In Our Time* and *Men Without Women* – by Ma Yanxiang in 1949; a collection of short stories – *The Butterfly and the Tank* – by Feng Yidai in 1946, and the play *The Fifth Column* by Feng Yidai in 1942. In addition, some of Hemingway's short stories were translated and published in different literature journals (Qiu, 1990, p. 10; Yang, 1990, p.186).

The Sino-Japanese War broke out in 1937, which lasted for eight years. Following this was another four years of Civil War. During the wartime, Hemingway's works were widely translated, reaching a high tide in the late 1930s to '40s. This was attributed to their role in heightening the fighting spirit of the Chinese people. As revealed by Feng Yidai, an enthusiastic translator of Hemingway, in the epilogue of his retranslation of *The Fifth Column and Other Works of Hemingway* in 1981, he was extremely touched by Hemingway's short story "Denunciation" when he first read it in Hong Kong. He decided to translate *The Fifth Column* and *The Butterfly and the Tank* since he thought that this kind of literary work would serve to strengthen the fighting morale of the Chinese people. Those works of Hemingway against the background of the Spanish Civil War were particularly popular at that time (Qiu, 1990, p.12). Feng Yidai and Ma Yanxiang translated the most of Hemingway's works in this period. According to the bibliography of the Chinese translations of Hemingway's works compiled by Qiu (ibid., pp. 157-166), there were about nine translators of Hemingway's major novels, short stories and drama from 1929 to 1949.

The fact that Hemingway visited China with his new wife Martha Gellhorn in March, 1941 contributed to his popularity in China. He was commissioned by Mr. Ingersoll, the editor of the newspaper *PM* to go to the Far East to see whether or not war between America and Japan was inevitable. The Hemingway couple were warmly

welcomed by Chiang Kaishek and Soong Meiling of the Chinese Nationalist Party, and by Chou Enlai of the Communist Party. They stayed in China for more than twenty days, visiting Chongqing and other battlefield sites to talk to soldiers. After this trip, Hemingway wrote a series of six articles on the Chinese army fighting the Japanese, showing his sympathy for the Chinese people (ibid., 1990, p.13).

Overall, the first phase was a productive and the first peak period in the translation of Hemingway in China. More importantly, some of the translations of Hemingway's works done in this period were regarded highly by scholars. For example, the translation of *For Whom the Bell Tolls* by Xie Qingrao was selected by Lin Yutang as one piece of translation of the famous world literature. The three translations of Hemingway by Ma Yanxiang – *In Our Time*, *Men Without Women*, and *Caporetto* – were included into the American Literature Series (ibid., 1990, pp.10-12). The play *The Fifth Column*, translated by Feng Yidai, "was encouraged to be put on stage by the GMD," and the novel *For Whom the Bell Tolls* was highly praised by Mao Dun as "a novel that is worth recording in letters of gold" (Wang Qijian, 1995, p.331).

3.2.3. The Second Phase: 1950-1977

In the first four to five years when the PRC was newly-established, China was involved in the Korean War (1950-1953). The relationship with America became very tense, resulting in a low tide in American literature translation. At that time, only the works of Jack London, Mark Twain and Theodore Dreiser were allowed to be published since they were recognised by the Soviet Union (cf. section 3.1.2. above). In July, 1956, there was a commentary published in the journal *Soviet Literature* [*Su Lian Wenxue*], highly praising Hemingway's *The Old Man and the Sea*. Shortly afterwards, it was translated into Russian and published in some Russian journals. Later, the novella was translated into Chinese by Hai Guan and published in the

journal *Rendition* [*Yi Wen*] in December 1956. Since then, the name of Hemingway, which had been silent for some time, began to regain the attention of Chinese readers (Qiu, 1990, p. 15).

Only a few works of Hemingway were translated in this period. Lin Yijin's translation of *A Farewell to Arms* was reprinted in 1952, and there were no other major novels of Hemingway translated. In fact, Hai Guan was the only translator of Hemingway in this period. In addition to *The Old Man and the Sea*, he also translated the short story "Undefeated," which was published in the journal *World Literature* [*Shijie Wenxue*] in 1961. Since Hai's translation of *The Old Man and the Sea* was printed, there was some coverage of Hemingway's life and works reported in *Wen Hui Bao*, which was in fact translated from the Soviet Press (Yang, 1990, p. 193).

3.2.4. The Third Phase: 1978-1987

In 1976, following the smashing of the Gang of Four and the end of the disastrous Cultural Revolution, a group of literati began to reflect deeply on the issue of Man (人 Ren) as a result of the perversion of human nature caused by the Cultural Revolution. The Chinese people began to open their minds to Western thoughts and literature. The Party encouraged divergent opinions on science, culture and art to flourish. Under such circumstances, the Commercial Press reprinted once again Hai Guan's translation of *The Old Man and the Sea* done in 1956. This work was regarded as a masterpiece manifesting the dignity and value of Man. It also marked the return of the Hemingway zeal in the literary circle. The translations of and research on Hemingway were produced rapidly, leading to another peak period in the translation of Hemingway in China (Qiu, 1990, p17). Translations of Hemingway's works published during this period amounted to a total of 500,000 copies. They included seven translations of *The Sun Also Rises*, *A Farewell to Arms*, *For Whom the Bell*

Tolls and Islands in the Stream; five translations of *The Old Man and the Sea*¹², one translation of his short stories, one translation of the novella *The Nick Adams Stories*, one translation of the drama *The Fifth Column* together with other short stories, one translation of his memoir of Paris *A Moveable Feast*, one translation of his selection of letters edited by Carlos Baker on Hemingway's art of creation, two translations of Carlos Baker's *Ernest Hemingway: A Life Story*, more than sixty translations of criticisms of Hemingway written by foreign critics, and more than sixty translations of his short stories, letters and prose published widely in different journals and newspapers (Qiu, 1990, p.18).

Among the above-mentioned list, some were works newly translated and some were reprinted old versions. For example, there were three new translations of *For Whom the Bell Tolls* published in 1982, three new translations of *The Old Man and the Sea* published in 1987, *The Sun Also Rises* was first translated in 1984, and a selection of Hemingway's short stories was published in Shanghai in 1981. Some of the new translations of short stories were "Indian Camp," done by Yang Renjing in 1979; "Cat in the Rain," "A Clean, Well-Lighted Place" and "After the Storm" also by Yang in 1980 (Qiu, 1990, p. 160; Yang, 1990, p. 214). Apart from translating novels and short stories, some of the translators were also interested in translating the letters, prose or criticism, particularly those about his art of creation. Hemingway's style of writing had attracted the attention of critics in this boom period. Hai Guan translated a critical piece of Hemingway's art of creation – George Plimpton's "An Interview with Ernest Hemingway." It originally appeared in *The Paris Review* (Spring 1958, no. 18, pp. 60-89) and recorded Plimpton's interview with Hemingway about his theories of

¹² Hai Guan's translation of *The Old Man and the Sea*, produced in 1956, was revised slightly by himself and reprinted in a bilingual version in 1960, 1963, 1978, 1981 by the Commercial Press Publisher; the other three translations of the novella were all published in 1987, done respectively by Wu Lao, Li Xiyin and Zhao Shaowei.

composition. Hai translated an adapted version and published it in 1980 in the journal *Literature and Art Research* [Wenyii Yanjiu]. This work was re-translated in a full version of the original by Dong Hengxun and published in Zhao Xiaowei's translation of *The Old Man and the Sea* in 1987. Moreover, Feng Yidai translated "A Talk on the Art of Short Fiction" [Duanpian Xiaoshuo de Yishu], originally published in *The Paris Review* (1981, no. 79), for the monthly journal *Foreign Literature* [Waiguo Wenxue] in 1986 (no.5, pp.53-59). It was then included into Zhao Xiaowei's translation of *The Old Man and the Sea* as part of the book published in 1987.

In addition, there were two influential works about Hemingway compiled and edited by Dong Hengxun, who was a major critic of Hemingway. The first was *Hemingway on the Art of Creation* [Haimingwei Tan Chuangzuo], published in 1985. It was in fact a translation of a selection of letters originated from *Ernest Hemingway – Selected Letters 1917 – 1961*, edited by Carlos Baker and published in 1981. The translation consisted mainly of eighteen letters written by Hemingway to his friends and family from 1918 to 1953 and other prose of Hemingway on creation. Another was Dong's *Research on Hemingway* [Haimingwei Yanjiu], which was first published in 1980 and revised and published as a new edition in 1985 by adding in a few other commentaries on Hemingway. This work was translated from a series of criticisms of Hemingway written by British, American and Russian critics, covering a variety of issues on Hemingway's life, personality, his views on art, and critiques of his overall and individual works (Yang, 1990, p. 197).

According to Qiu's bibliography of the Chinese translations of Hemingway's works, there were about forty-eight other translators of Hemingway in addition to the ten of the two previous periods rendering a variety of Hemingway's novels, short stories, prose, letters, biographies and criticisms of him from 1978 to 1987. Yet most of them

translated only one to two works and seldom more than three. Among them, Feng Yidai, Yang Renjing, and Wu Ran translated more than three works, and they were also critics of Hemingway who wrote influential commentaries on him.

3.3. Reviews of Hemingway in China and *The Old Man and the Sea*

3.3.1. Area of Focus and Sources of Information

In this section, I intend to look at the major reviews of Hemingway (3.3.2.) and *The Old Man and the Sea* (section 3.3.3.) together with the translation reviews of the novella (3.3.4.) written by Chinese critics at different periods in order to examine how Hemingway and the novella were generally received by the Chinese readers. This is no complete picture of their reception in China since the sample of reviews examined is confined mostly to academic articles, while the reception of an author and a text often encompasses a wide range of readers in a variety of different settings that may be out of reach of the researcher. The information introduced is based mainly on Qiu's (1990) research into the reception of Hemingway in China (pp. 9-31) and a body of reviews of *The Old Man and the Sea* (pp. 34-51)¹³, together with a list of commentaries on Hemingway. In addition, I will look at three translation commentaries on the novella done from 1989 to 1995, and a few others from 2001 to 2003 for comparison. The aim is to study the readers' reactions to the translations of the novella and to explore their concept of translation of the late 1980s to the early '90s. The sources of the reviews introduced will be documented in footnotes 12 to 27 under this section.

¹³ In addition to presenting the gist of the major reviews of Hemingway written by Chinese critics, Qiu (1990) also compiled a detailed bibliography of the criticisms of Hemingway on his life, works and style written by Chinese scholars from 1933 to 1987 (pp. 170-184). I had browsed through a number of the articles listed in Qiu's bibliography on Hemingway, yet did not review them each in detail in this section since the translators and the role of translation were rarely acknowledged in all these reviews.

3.3.2. Reviews of Hemingway in China: 1929-1987

There had not been many reviews of Hemingway, particularly on his individual works and style of writing, written by Chinese critics until the third phase of his translation history since 1978. In the 1930s, only a few commentaries on Hemingway were written by Zhao Jiabi (1934, 1935) and Ye Lingfeng (1934)¹⁴. According to Zhao (1935), Hemingway was a representative writer of “The Lost Generation” and an epoch-making figure who defied the superficial modern culture. The most prominent characteristic of Hemingway’s characters was their “hard-boiled” nature. He placed art above all else; and every one of his stories was a model of good prose. Ye observed that Hemingway wrote in an informal and plain style, using simple diction to describe the instinctive behaviour and demands of people in their daily lives (Qiu, 1990, pp. 11-12). In the 1950s and ’60s, there were still very few criticisms of Hemingway written since American literature introduced in this period was often evaluated from the perspective of Russian literary criticism, which was critical of American writers’ attitude towards Russia (Yang, 1990, p. 193). During this period, two short articles were written respectively by Feng Yidai in *People’s Daily* [*Renmin Ribao*] on 29 March, 1957, and Zhao Jiabi in *Wen Hui Bao* on 22 August, 1961¹⁵. Feng praised Hemingway as an enthusiastic and dedicated writer. Zhao characterised Hemingway as an anti-imperialist, a critical realist who had a democratic orientation and showed true concern for the lives of common people. In addition, Dong Hengxun researched the characters and style of Hemingway’s works, the only criticism of Hemingway written in this period since China was in a state of

¹⁴ Zhao Jiabi wrote an article entitled “The Growth of American Novels” [Meiguo Xiaoshuo zhi Chengzhang] and Ye Lingfeng wrote “Hemingway as a Writer of Short Stories” [Zuowei Duanpian Xiaoshuojia de Haimingwei], both published in the journal *Modern* [*Xian Dai*] in 1934 (vol.5, no.6) for a special series on American Literature. One year later, Jiao Jiabi published another commentary on Hemingway entitled “A Research on Hemingway” [Haimingwei Yanjiu] in *Literature Quarterly* [*Wenxue Jikan*] in 1935 (vol. 2, no.3).

¹⁵ Feng Yidai’s (1957)’s article, entitled “My View on Hemingway” [Wo Kan Haimingwei]; Zhao’s “A Farewell to Hemingway – Two to Three Anecdotes about Hemingway” [Yongbie le Haimingwei – Youguan Haimingwei de Liangsanshi], was written to remember his death upon hearing the shocking news of his suicidal death.

political turmoil¹⁶. Dong suggested that Hemingway's characters appealed strongly to readers of capitalist societies because they were paradoxically defiant against and submissive to the harsh reality of life. They were often pessimistic, hardened to suffering and eventually withdrawn from reality. Also, Dong highlighted Hemingway's use of first-person narration and interior monologue, concise conversation and vivid description. He concluded that the prominent characteristics of Hemingway's style were his implicitness, brevity and elegance (Qiu, 1990, pp. 16-17).

Coinciding with the translation of Hemingway, research on Hemingway entered a boom period from 1981 to 1985 and reached a peak from 1986 to 1987. According to Qiu (1990), there were altogether more than sixty commentaries on Hemingway written by Chinese critics and published in different journals from 1981 to 1985, three times the number in the previous fifty years. Research topics on Hemingway had been varied widely, including the image of Santiago, Hemingway's views on war, Hemingway and the Lost Generation, the sense of space and motion and cinematic effects produced in Hemingway's works, Hemingway's style of narration and its relation with modern short stories, his art of writing, characterisation, theory of the iceberg. On the 25th anniversary of Hemingway's death in 1986, a number of conferences were held at Nanjing and Xiamen by the Chinese and American Literature Research Society to remember Hemingway's life and works (ibid., pp. 22-23).

The figure of Santiago depicted in *The Old Man and the Sea* as "a hardened man" persevering in fighting a tough battle was popularly received among the Chinese critics and readers. Dong Hengxun mentioned in several of his reviews of

¹⁶ Dong Hengxun researched into the characters and style of Hemingway in his "The Study of Hemingway" [Haimingwei Qianlun], published in *Literature Criticism* [Wenxue Pinglun] in 1962, no 6.

Hemingway that Hemingway's heroes were often numb to pain and suffering, who could survive innumerable setbacks¹⁷. They were often pictured as "a hardened man" who acted as a bullfighter, fisherman, hunter or boxer. The nobility of a hardened man manifesting "grace under pressure" was fully exemplified in the image of Santiago. Hai Guan's translation of the famous quotation from *The Old Man and the Sea* – "But man is not made for defeat. A man can be destroyed but not defeated" (1993, p.89) as "一個人并不是生來要給打敗的。你盡可把他消滅掉，可就是打不敗他" (p.68) – had been widely quoted by Chinese critics of Hemingway as well as the common Chinese readers to express how they were inspired and strengthened by reading the novella. As regards the style of Hemingway, Wan Peide (1980)¹⁸ and Dong (1987) mentioned that first-person or third-person narration was used in Hemingway's works, by which events were presented through a participating character rather than an omniscient narrator, thus keeping the distance between the author, objects of description and readers to the minimum, and enhancing the verisimilitude of narration.

Regarding the popularity of Hemingway in China, Yang Renjing (1990) commented that Hemingway's works had been so positively received in China since they played

¹⁷ The several criticisms of Hemingway Dong Hengxun wrote include:
 Dong, H. X. (1980a). Hemingway [Haimingwei]. *Chinese Encyclopedia [Baiké Zhishi]*, 2, 30.
 _____. (1980b). Hemingway's style [Haimingwei de yi shu feng ge]. *Literature and Art Research [Wenyi Yanjiu]*, 2, 123-139.
 _____. (1985a, January 17). Hemingway as a pioneer in modern narration [Kaichuang yidai wenfeng – Jingtong xiandai xushi yishu de Haimingwei]. *Literature Press [Wen Xue Bao]*.
 _____. (1985b). *Hemingway on creation [Haimingwei tan chuanguo]*. Beijing: San Lian.
 _____. (1985c). *Research on Hemingway [Haimingwei yanjiu]*. Beijing: Zhongguo Shehui Kexue.
 _____. (1987). Hemingway and modern novels [Haimingwei yu xiandai xiaoshuo]. In *American Modern Novelists [Meiguo Xiandai Xiaoshuojia Lun]*. (pp. 97-24). Beijing: Zhongguo Shehui Kexue.
 _____. (1989). Twentieth-century foreign literature: Insights from Hemingway [Ershi shiji waiguo wenxue – Haimingwei de qishi]. *Foreign Literature Criticism [Waiguo Wenxue Pinglun]*, 2, 53-59.

¹⁸ Wan, P. D. (1980). Artistic characteristics of Hemingway's novels [Haimingwei xiaoshuo de yishu tedian]. *Literature, History and Philosophy Bimonthly [Wen Shi Zhe]*, 2, 75-80.

an important role in strengthening the fighting spirit of the Chinese nation at the times of war. The image of a “hardened” man surviving a lonely and tough battle had made a great impact on the Chinese readers since China had suffered a series of battles and setbacks since late Qing. The Chinese nation had learned to endure hardship and adversities. Therefore, the notion that life is a hard battle that only the tough-minded can survive found an echo in the hearts of many Chinese people. In addition, Hemingway’s style of writing was similar to the plain style of classical Chinese novels. Chinese readers accepted with ease Hemingway’s concise, vivid, concrete and oblique description of events and characters. Yang suggested further that Hemingway’s theory of the iceberg, though putting much emphasis on indirectness and implicitness, nevertheless, was easier to grasp than the more abstract description of the human psyche as found in some Western literature. Finally, Hemingway’s aesthetic principle of writing “the way it was,” stressing that a writer’s duty is to speak the truth was respected highly by the Chinese readers (pp.199-200, my translation).

In view of the above brief review of the major criticisms of Hemingway written by Chinese scholars from 1933 to 1987, although there appear to be a large quantity in total, overall, there is in them a lack of discussion of the process of translation. The translations are read as the originals on which the comments on Hemingway’s works are based. The translator’s role is rarely addressed in these criticisms, as revealed from the fact that a translation is often quoted as support with no clear documentation of its source (the translator’s name, publisher and year of publication), though in most cases, the original source of the translation can still be traced from the translated title of the work given in brackets near the quotation or mentioned in footnotes. This is the case even for those commentaries written by influential critics of Hemingway such as Dong Hengxun and Yang Renjing. Among the major criticisms

of Hemingway written by the prominent Chinese critics in the 1980s, I could only find two minor comments related to translation. The first occurs in Dong Hengxun's (1980b, p. 136) "Hemingway's Style," in which he suggests that the musical rhythm is lost in an example from the translation of Hemingway's "The Old Man at the Bridge" (橋邊的老人) – "河上搭著一座浮橋，大車、卡車、男人、女人和孩子們在湧過橋去……而農夫們還在齊到腳踝的塵土中沉重地走著," yet Hemingway's simple, natural, concise and crisp style of the original is basically preserved. The second is found in Sun Zhili's (1984, pp. 57-58) "A Reserved and Condensed Style: An Analysis of Hemingway's Art of Short stories," in which in commenting on a paragraph of Hemingway's "After the Storm" (暴風雨之後) – "我問: "誰殺死了他?" 他說: "我不知道誰殺死了他，不過他確是死了。"…… 它還完好，只是灌滿了水," Sun refers to the original and points out that it is made up of one sentence in a "noun – verb" structure, free from any adjectival or adverbial phrases, showing his awareness that the language of the translation is different from the original in its structure and form. On the whole, although there have been many researches on Hemingway done by Chinese scholars, the really in-depth ones are few. Wu Ran (2004) remarks that this may be due to the fact that the Chinese readers rarely go beyond the boundary of translations in understanding foreign literature because of the authority assumed by translators in introducing foreign literature, resulting in generally low-quality studies done by the majority of Chinese scholars on Hemingway (p.9).

3.3.3. Reviews of *The Old Man and the Sea*

Among all the works of Hemingway translated into Chinese, *The Old Man and the Sea* was the most popular and had received the most attention from Chinese critics. A total of 130,000 copies of the five versions of the novella were printed in thirty years since it was first translated in 1956 (Qiu, 1990, p. 35). Its film version, directed by Warner Brothers with the script edited by Hemingway himself, and starring Spencer

Tracy in 1958 ("The Old Man and the Sea film," 2008), was also translated with Chinese subtitles. This was mentioned by Zhao (1987) in the footnotes of his version of the novella (p.279, p.293, p.299) where he compared the differences between its original book and film versions (in Chinese). Yet it was not clear when the film was introduced to China with the subtitles translated. The novella had been widely read among the high-brow and the low-brow, and among the youth and the old. Qiu (1990, pp. 27-29) and Yang (1990, p. 195) reviewed a few cases of the common readers' reactions' towards the novella; they expressed how they were personally enlightened and strengthened by the spirit of the work. According to Qiu (1990, pp. 35-51), there were altogether about twenty-six articles written by Chinese scholars on the themes and style of the novella from 1979 to 1987. Issues discussed include the controversies over whether the work conveys a mood of pessimism or optimism and whether Santiago is a loser or a winner in the battle; the themes of loneliness, isolation, loss and the tragedy of life; heroism and the unyielding spirit of "a hardened man;" interpretation of the story from the perspective of existentialism; topics on the style of the novella include the theory of the iceberg, symbolism, cinematic effects of description, stream-of-consciousness, structure of narration.

Though there was a significant number of reviews of *The Old Man and the Sea* written from 1978 to 1987, very few discussed its translation; among all the criticisms of the work reviewed by Qiu (1990), I could only find two minor pieces of information referring to its translation. The first is Zhao Jiabi's (1957) one-line comment that "Hai Guan's translation basically reproduces the style of Hemingway" (quoted in Qiu, 1990, p. 34).¹⁹ The second is Kang Er's (1986) suggestion that "They have beaten me" should not necessarily be translated as "它們已打敗了我" but could better be

¹⁹ Zhao, J. B. (1957). "Reflections on Hemingway from *The Old Man and the Sea*" [Cong Lao Ren Yu Hai Xiangdao Haimingwei]. *Reading Monthly* [Dushu Yuebao], 4.

translated as “它們累垮了我,” “它們使我精疲力竭,” “我累散了架” or “我已疲憊不堪了” (quoted in Qiu, 1990, p. 42)²⁰, since the old man is extremely exhausted rather than really defeated. Overall, the translator is almost invisible in all the criticisms of the novella.

3.3.4. Translation Reviews of *The Old Man and the Sea*

As regards the translation commentaries on the novella, in fact, up to the 1990s only a few had been written. The notable ones include Wang Ji's (1989) comparative analysis of the language of Hai Guan and Zhao Shaowei's translations²¹; Zheng Yan-guo's (1990) commentary on the style of Wu Lao's translation²²; and Liu Zhen-qian's (1995) comparative analysis of Hai's and Wu's translations with regard to the translation of polysemy²³. Their main ideas are summarized briefly in the following.

Wang Ji (1989) comments that most of the translations of Hemingway's works cannot reproduce faithfully the style of the originals since they mostly focus on preserving the formal resonance at the cost of the spiritual resonance of the works, resulting in a certain loss of the original flavour of Hemingway's style. This is also the case for Hai's translation of *The Old Man and the Sea*, though it is basically faithful to the original in both content and diction. Wang suggests that to reproduce Hemingway's style properly, the translator should comprehend fully the thoughts and emotions

²⁰ Kang, E. (1986). Success or failure is not to be measured by gain or loss: Hemingway's Santiago [Ye tan Haimingwei bi xia de yinghan Sangdeyage]. *Journal of Yancheng Teachers College (The Humanities and Social Sciences Edition)*, 2, 71-73.

²¹ Wang, J. (1989). The translation of Hemingway's style: A reading of the new translation of *The Old Man and the Sea* [Haimingwei fengge de fanyi – Du Lao Ren Yu Hai xinyiben]. *Journal of Yangzhou University (The Humanities and Social Sciences Edition)*, 3, 1-6.

²² Zheng, Y. G. (1990). Recreation of the style by the translator's craft in the new translation of *The Old Man and the Sea* [Miaoshou jiancai fengge zaixian – Lao Ren Yu Hai xinyi pianduan shangxi]. *Chinese Translators Journal*, 3, 42-44.

²³ Liu, Z. Q. (1995). Translation of polysemy in Hemingway's works [Tan Haimingwei zuopin zhong duoyi ciyu de fanyi]. *Shandong Foreign Languages Journal*, 4, 58-61.

underlying the words used in the original instead of being bound closely by them. The translator should also be conversant with colloquial expressions and the situations behind the dialogues described since colloquialism and vivid conversations are the prominent characteristics of Hemingway's style. A list of examples is selected from *The Old Man and the Sea* to compare the relative merits of Hai and Zhao's translations in the rendition of diction. Wang concludes that Zhao's translation is generally superior to Hai's since it is more concise, accurate, concrete and lively, especially in the translation of a series of verbs, which makes it closer to the concise, crisp and colloquial style of the original Hemingway. Wang observes that the main difference between Hai's and Zhao's translations is in the use of language. While Hai's version is translated primarily in Mandarin, Zhao's basically is in Mandarin, yet supplemented by the widespread use of Beijing dialect, creating a special kind of colloquial flavour that makes it better than Hai's translation. This is particularly apparent in Zhao's rendering of conversations and narrative descriptions. Finally, Wang comments on Zhao's use of footnotes to explain clearly certain vocabulary and concepts such as "salao," "chloasma," "the name of Rigel" and the old man's idea of putting a spoon on a small line, showing the translator's arduous efforts to research into the details of the original.

Zheng (1990) has a very high regard for Wu's craft in reproducing faithfully and naturally the original style of *The Old Man and the Sea* by making appropriate adjustments in accordance with the characteristics of the Chinese language. He chooses an extract from the novella describing the old man's reminiscence of his success in winning a hand-wrestling game against the Negro in the docks for a comparative study of the style of the original and Wu's translation. He quotes a few examples to illustrate that the syntactic structure of the original is basically rendered literally by Wu for reproducing its formal resonance, though he occasionally makes

adjustments for using natural and idiomatic Chinese. As regards the translation of diction, Wu favours a combination of free and literal translation methods for manifesting the spiritual resonance of the original. Colloquial diction and restructurings of phrases are also found in the examples of Wu's translation studied.

Liu Zhenqian (1995) suggests that the use of polysemy is a peculiar characteristic of Hemingway's style, which should be translated by similar equivalents in the target language. If no equivalents are found, the translator has to use his imagination to make explicit the meaning by means of concretization on the basis of the information given in the context. Nevertheless, this is a less preferable compensation technique since it will inevitably cause a certain loss in meaning and will destroy the implicit style of the original Hemingway. Examples are chosen from *The Old Man and the Sea* to evaluate the relative merits of Hai's and Wu's translations. Liu concludes that the translator should reproduce the stylistic and formal features of the original faithfully though adjustments should be flexibly made for conveying its spirit.

In view of the findings of the three translation reviews of *The Old Man and the Sea* summarized above, it appears that the critics' concept of translation is bound closely by the traditional notion of "equivalence" in the study of the style of translation. They think that the translator has the primary responsibility to reproduce as closely as possible the style of the original. Moreover, their commentaries are all evaluative and prescriptive in nature though they focus on different stylistic features selected for analysis. Emphasis is laid on distinguishing good translations from bad ones rather than exploring the translation process. The relative merits of the translations are generally assessed on the basis of the extent to which they can imitate faithfully and fluently the style of the original. Mistranslations are spotted and occasionally suggestions are given to improve the translations. Finally, the notion of formal

resonance versus spiritual resonance is repeatedly referred to. It seems that the generally agreed principle of translation is that spiritual resonance should be given priority over formal resonance, though, ideally, both should be retained in translation.

There were a few other translation commentaries on *The Old Man and the Sea* done in the 2000s. Though they focus on different linguistic and stylistic features of the novella in the study of the styles of the translations, they are similarly “evaluative and prescriptive” in their comments as those written before. This series of translation reviews include Liu Wenjie and Wang Ping’s (2001) comparative analysis of Hai Guan’s (1957), Li Xiyin’s (1987) and Yu Guangzhong’s (1970) translations of *The Old Man and the Sea* with regard to the translation of cohesive devices²⁴. Xiao Hong’s (2001) analysis of two examples of Hai Guan’s (1956) translation²⁵; He Mingxia, Wang Guifen and Zhang Haiyan’s (2001) comparative analysis of Hai Guan’s (1956) and Xong Biyun’s (1970) translations with regard to the translation of syntactic structure, lexis and cohesive devices²⁶; Xi Yongji’s (2001) comparative analysis of the styles of Hai Guan’s (1984), Zhao Shaowei’s (1987) and Xong Biyun’s (1982) translations²⁷; Wang Guifen’s (2002) commentary on the translation of Hemingway’s

²⁴ Liu and Wang’s (2001) “Cohesion in translation discourse: A comparative study of three Chinese translations of *The Old Man and the Sea* [Yupian fanyi zhong de xianjie yishi – *Lao Ren Yu Hai* san yiben duibi xinde]” was published in the *Fujian Foreign Languages Quarterly Journal* (vol. 3, pp. 50-59). The cohesive devices selected for study include reference, substitution, ellipsis, collocation, reiteration and conjunction.

²⁵ Xiao’s (2001) “Stylistic characteristics and the means to reproduce them” [Fengge tezhenq ji qi zaixian fangfa] was published in the *Journal of Sichuan International Studies University* (September, 2001, vol. 17, no. 5, pp. 77-80). She emphasises that the translator has the duty to find appropriate diction, syntactic structure and rhetorical devices to reproduce faithfully the spirit of the original; and spiritual resonance should be given priority over formal resonance if both cannot be retained simultaneously.

²⁶ He, Wang and Zhang’s (2001) “A comparative study of the style of two Chinese translations of *The Old Man and the Sea*” [*Lao Ren Yu Hai* de liangge zhongyiben yifeng bijiao] was published in the *Journal of Hubei Adult Education Institute* (May, 2001, no. 3, pp. 15-17). They compare Hai’s and Xong’s translations of an extract from the climax of the novella describing the success of the old man in catching the marlin. They find that Hai’s translation tends to use longer premodifiers and redundant pronominals, and to elevate the level of diction by adding colourful adjectives. This makes it less successful than Xong’s in reproducing the style of the original.

²⁷ Xi, Y. J. (2001). The personal style of Hemingway’s language [Haimingwei de gexinghua yuyan fengge]. In Xi, Y. J., *Literary Translation Comparative Aesthetics* [*Wenxue Fanyi Bijiao*

art of narration²⁸, together with Li Ping and Wang Guifen's (2003) comparative analysis of the stylistic effects of Hai Guan's (1979) and Xong Biyun's (1970) translations²⁹.

3.4. Other Information about the Four Chinese Translations of *The Old Man and the Sea*

3.4.1. Area of Focus and Sources of Information

In this section, I attempt to gather information about the four translators, such as their backgrounds, other works translated and written by them on translation, and critics' opinion of the translators. In addition, I will gather some preliminary and macro-level data of the four Chinese translations of *The Old Man and the Sea* by looking at the outward presentation and packaging of each translation including information on the cover and the title page, the content of the paratexts (preface, footnotes, endnotes, attachments), chapter division and paragraphing. The whole section is divided into four sub-sections from 3.4.2. to 3.4.6., each focusing on one of the five translations studied (Hai's 1956 version was revised slightly by himself and reprinted as a bilingual version in 1960, 1963, 1978 and 1981; section 3.4.3. is devoted particularly to a comparison of his two translations of the novella).

Meixue] (pp. 564-574). Wuhan: Hubei Jiaoyu.

²⁸ Wang's (2002) "The necessity of noting narrative point of view in fiction translation - A commentary on the translation of Hemingway's art of narration [Tan xiaoshuo fanyizhe guanzhu xushu shijiao de biyaoxing - Jian ping Haimingwei de xushu yishu ji fanyi]" was published in the *Journal of Chongqing Three Gorges University* (vol. 18, no.5, pp. 41-43). She proposes that shifts in point of view are an important narrative technique of Hemingway that should be reproduced fully for attaining "dynamic equivalence." She suggests that mistranslations in the versions of Hemingway's works are often caused by the translators' insensitivity to the shifts in narrative point of view.

²⁹ Li and Wang's (2003) "A comparative analysis of two Chinese translations of *The Old Man and the Sea* from the stylistics perspective" [Cong wenti de jiaodu kan Lao Ren Yu Hai liangge zhongyiben de xiaoguo] was published in the *Journal of Hubei Automotive Industries Institute* (Sept 2003, vol. 17, no. 3, pp. 73-76). They propose that the translators should use comparable lexis, syntax, discourse structure and rhetorical devices to reproduce the style of *The Old Man and the Sea* as closely as the original. Their other findings are similar to those of He, Wang and Zhang's (2001)'s comparative study of Hai's and Song's translations.

3.4.2. Hai Guan's Translation (1956, 1957)

3.4.2.1. Information about Hai Guan

According to Sun (1996, p. 201), Hai Guan was one of the editors of the journal *World Literature* [*Shijie Wenxue*]³⁰, who had very high proficiency in foreign languages. Sun mentions that Hai had helped the translator Wang Zuoliang to polish a few of his translations of Francis Bacon into classical Chinese (ibid.). Apart from *The Old Man and the Sea*, he also translated Hemingway's short stories "The Undefeated" (1961)³¹, "Fifth Grand" (1981), "In Another Country," (1981), "The Killers" (1986), and George Plimpton's "An Interview with Ernest Hemingway" (1980). In addition, he translated Soviet works such as Vassily Grossman's *The People Immortal* (1945)³², Dr. J. Kotatko's *Land Reform in Czechoslovakia* (year unknown), Dostoyevsky's *Crime and Punishment* (1982); Polish work such as short stories of Boleslaw Prus (1955) retranslated from English and Russian; and other English and American literary works such as Thomas Hardy's *The Return of the Native* (1944) and Steve Nelson's *The Volunteers* (1954). Hai has not written much about his own translations or his views on literary translation.

3.4.2.2. Hai's Translation (1957)

Hai's translation of *The Old Man and the Sea* was first published in the journal *Rendition* in 1956 (no. 12). The same version was reprinted by Xin Wenyi publisher in 1957 in 10,000 copies.

On the front page of the 1957 version published by Xin Wenyi, *The Old Man and the*

³⁰ According to Sun (1996, p. 7), the journal *World Literature* [*Shijie Wenxue*] was established in January 1959. It was formerly named as *Rendition* [*Yi Wen*], founded by the All-China Literary Workers' Association in July 1953.

³¹ The year in brackets in the series of translations done by Hai introduced refers to the year in which each translation was published.

³² The year in brackets in the series of translations done by Hai introduced in this section refers to the year in which each translation was published.

Sea is described as a famous novella of Hemingway, which is about an old man who endures hardship battling with the fish alone in the sea yet ends in failure. The introduction explains that the work manifests the desolation of the sea, the lonely struggle of the old man and his pure friendship with the boy. It has attracted the attention of literature circles all over the world, and has been widely discussed among writers of the Soviet Union and the countries of the People's Democracies. In addition, it is mentioned that the work was translated by Hai Guan according to the version published by Jonathan Cape in London in 1955. On the next page, there is a picture of the young Hemingway holding a fishing-rod against the background of a seashore behind which there are rows of boats in the sea.

There is a short afterword written by Hai himself at the end of his translation introducing the life and style of Hemingway. Hai describes Hemingway as a conscientious writer who opposes violence and capitalism, and he expresses deep sympathy for the common people. Hemingway's works reveal his complicated paradoxical world view. His characters are often pessimistic, hopeless and lonely, who struggle aimlessly and eventually sacrifice their lives. *The Old Man and the Sea* reveals similar themes of pessimism and fatalism as his previous works; yet it manifests a new mood of optimism, which makes it closer to realism. The novella reflects the paradox of the old man. On the one hand, he has superb power; on the other, success remains beyond his reach. This expresses the boredom of a conscientious intellectual exploring life under a capitalistic system. In his intense struggle, the old man strengthens himself by recalling that "man is not made for defeat. A man can be destroyed but not defeated."

The translation has no chapter division and retains all paragraph divisions as the original. The names of people and places are underlined as they usually are in

modern Chinese. There are only eleven footnotes throughout the whole translation, which are all simple Chinese explanations of Spanish vocabulary such as “Agua mala,” “Calambre,” “Gran Ligas,” “Un espuela de hueso” and “Dentuso,” or proper nouns of places such as “Gulf Stream,” “Catalan” and “Miami.” Overall, the general make-up of the translation is similar to that of the original.

3.4.3. Hai’s Translation in a Bilingual Version (1960, 1963, 1978, 1981)

Hai’s translation was revised by himself and reprinted in a bilingual version by the Commercial Press in 1960, 1963, 1978 and 1981.

3.4.3.1. Hai’s Bilingual Version (1981)

In the 1981 version, the front page informs us that the work was translated by Hai Guan and annotated by the Foreign Languages Teaching and Research Section of The People’s University of China. The next page states that the reprinted version of 1981 was included into the series of English and American Modern Literature (vol. 108) that had been published by the University since 1979.

The bilingual version contains an anonymous preface but it removes Hai’s afterword of the previous version. The preface briefly introduces the life and works of Hemingway. It describes that Hemingway is a representative writer of the Lost Generation, whose works reveal the pessimism of intellectuals under capitalism. His characters are all pessimistic, hopeless and nihilistic in accepting their fate. Though the old man has not given up trying, eventually he has to yield to his fate helplessly. At the end of the preface, it is stressed that though the novella is polished in style and language, its themes are basically negative and thus should be read critically.

The translation is printed in parallel with the original page by page. At the bottom of every page there is a glossary explaining in Chinese the meanings and parts of speech of some of the words used in the original; for example, it is explained that “fish” can be used as a verb or a noun; the plural form is “fishes”; “eighty-four days” can be used after an intransitive verb or as an adverbial; “salao” means “bad luck” in Spanish, and so on (p. 4).

3.4.3.2. Differences between the 1957 and 1981 versions of Hai’s Translation

On the whole, the 1981 bilingual version of Hai’s translation is similar to the 1957 version, except for some minor adjustments – the names of people and places are not underlined; the inanimate “它” is changed to the animate “牠” throughout the translation in describing the fish. There are also some other noticeable modifications made in the use of diction as listed in the examples below with the modified expressions underlined in the bilingual version:

The 1957 version of Hai	The 1981 bilingual version of Hai
1. 聽見它們在黑暗裏凌空而去的時候從棚的翅膀上發出的噉噉的聲音 (p. 16)	<u>和牠們</u> 在黑暗裏凌空而起的時候從棚緊的翅膀上發出的 <u>嘶嘶</u> 的聲音 (p. 37)
2. 它很結實，形狀像個子彈 (p.22)	它的 <u>身段非常緊湊</u> ，形狀像個子彈 (p. 51)
3. 但是喝這種油並不比在那麼早的時候從床上起來更叫人受不了 (p. 22)	但是油的 <u>味道</u> ， <u>並不比起早更叫人受不了</u> (p. 49)
4. 就老頭兒望著天上的星星所作出的判斷看來，那條大魚通夜沒有改變路線和方向。(p. 28)	老頭兒 <u>只要望著天上的星星，就可以知道</u> 那條大魚一夜都沒有改變路線和方向。(p. 63)
5. 把備用的釣絲卷兒連起來。(p. 31)	把 <u>多餘的</u> 釣絲卷兒連起來。(p. 71)
6. 他想，是因為老鷹飛到海面上來找它們。(p. 34)	是 <u>因為老鷹</u> ，他想。因為老鷹飛到海面上來找它們。(p. 77)
7. 望著一縷縷的血流開了去，望著海水隨著小前進在他手上不住的拍打 (p. 35)	望著一縷縷的血流開了去 <u>以及</u> 海水隨著小船的前進在他手上不住的拍打 (p. 79)
8. 這條魚簡直不好吃，可是吃下去就有力	這條魚差不多一點 <u>也不腥</u> ，吃下去就有力量。

量。(p. 37)	(p. 83)
9. 而他們又知道自己恰好是在天氣往往會突然變壞的月分裏。(p. 38)	<u>並且</u> 知道自己恰好是在天氣往往會突然變壞的月分裏。(p. 87)
10. 我還是寧願做那只待在黑魑魑的水裏的動物 (p. 44)	我還是寧願做那只 <u>呆</u> 在黑魑魑的水裏的動物 (p. 97)
11. 但是他的左手一向出賣他，不願受他的支配，因此他也信不過它 (p. 45)	但是他的左手一向是 <u>個叛徒</u> (p. 101)
12. 我也可以一直這樣下去不睡。可是這就太危險啦。(p. 50)	我能夠 <u>一直不睡</u> 。但 <u>那裡</u> 太危險啦。(p. 113)
13. 水力已經弱些了 (p. 51)	水流已經 <u>減弱</u> 了 (p. 115)
14. 北風刮得正緊，他覺得冷透了骨髓，他的右胳膊正在睡著 (p. 52)	北風刮得正緊， <u>冷透骨髓</u> ，右胳膊 <u>感到麻木</u> (p. 119)
15. 釣絲還多得很，魚不得不遭受水裏新釣絲的阻力。(p. 54)	釣絲還多得很，魚不得不 <u>連新放出的釣絲在水裡的阻力，也一併拉在身上</u> 。(p. 121)
16. 不讓它經過新給釣絲勒過的任何一條痕跡上。(p. 55)	不讓它 <u>碰</u> 上 <u>新給釣絲勒過的任何一條疤痕</u> 。(p. 123)
17. “可是一個人並不是生來要給打敗的，”他說。“你盡可把他消滅掉，可就是打不敗他。”(p. 68)	“可是人不是生來要給人家打敗的，”他說。“ <u>人盡可被毀滅，可是不會肯吃敗仗的</u> 。”(p. 151)
18. 一分鐘一分鐘過去，離家越來越近了。(p. 68)	<u>每過一分鐘就</u> 離家更近一步。(p. 153)
19. 然後他系上了帆腳繩，給帆張開了風，(p. 154)	然後他系上了帆腳索， <u>張開了帆</u> ，(p. 161)
20. 這是把一個斷了的槳鋸成二呎半長左右的一個槳把子。(p. 75)	<u>這根短棍原是一個斷槳</u> ，鋸成二呎半長左右的一個槳把子 (p. 165)
21. 我想要的事兒太多，(p. 78)	我想要的 <u>東西</u> 太多了，(p. 171)
22. 才能從海上把燈光看得清楚。(p. 78)	從海上望去， <u>燈光才能看得清楚</u> 。(p. 171)

As appears from the above list, Hai made some adjustments to his previous version in the 1981 bilingual version by using simpler, more specific, fluent and modern diction. For example, the literary diction “備用,” “事兒” are respectively changed to the more modern “多餘” and “東西”; the general descriptions of the fish – “簡直不好吃,” “它很結實,” the stern – “這就太危險啦,” the old man’s right arm – “他的右胳膊正在睡著” – are changed respectively to the more specific and concrete descriptions – “差不多一點也不腥,” “它的身段非常緊湊,” “那裡太危險啦” and “右胳膊感到麻木.” In

addition, the repetitions such as “聽見,” “望著” are replaced respectively by the connectives “和” and “以及;” and the repetition “一分鐘一分鐘” is simply deleted and rephrased as “每過一分鐘就.” Also, the description of the fish pulling the friction of the line – “釣絲還多得很, 魚不得不遭受水裏新釣絲的阻力” is made more explicit by an additional clause “釣絲還多得很, 魚不得不連新放出的釣絲在水裡的阻力, 也一併拉在身上.” Another noticeable modification is that generally shorter sentences are used by breaking the original long sentences into a series of shorter clauses as in examples three, four, six, twenty and twenty-two. The lengthy premodifiers preceded the “的” clauses are rephrased into a series of shorter clauses, most obviously in example four by rephrasing the old man’s watching the star – “就老頭兒望著天上的星星所作出的判斷看來” – as “老頭兒只要望著天上的星星, 就可以知道;” and in example twenty by breaking the lengthy description of the oar – “這是把一個斷了的槳鋸成二呎半長左右的一個槳把子” into “這根短棍原是一個斷槳, 鋸成二呎半長左右的一個槳把子.” Last, redundant pronominals such as “他們” and “他” are simply omitted to give more concise descriptions as in examples nine, eleven and fourteen. On the whole, the language of the 1981 bilingual version appears to be simpler, more specific, fluent and natural, and closer to modern vernacular Chinese.

3.4.4. Wu Lao’s Translation (1987)

3.4.4.1. Information about Wu Lao

According to Sun (1996), Wu Lao was a professional literary translator who started his translation career in Shanghai in the 1950s after he finished his studies in English Literature at Shanghai St. John University. He joined the China Democratic League in 1956, taught at Jiangsu Teacher’s College in 1978, and worked as the editor of Shanghai Yi Wen Publisher from 1981 (p. 153). Other than *The Torrents of Spring* and *The Old Man and the Sea* (1999), he also translated Hemingway’s *The Garden*

of *Eden* (1999)³³ and his short stories “Big Two-Hearted River Part I and Part II” (1995); other American literary works such as Jack London’s *Martin Eden* (1955), Frank Norris’s *The Epic of the Wheat: The Octopus – A Story of California* (1954), Isaac Bashevis Singer’s *The Magician of Lublin* (1979); and other work like Jorge Amado’s *The Violent Land* (1958) (from Portuguese via Samuel Putnam’s English translation). Sun (1996) comments that Wu Lao is a serious and dedicated translator who strives to produce quality translations. He aims to capture and reproduce both the “spiritual and formal resonance” of the original by understanding its spirit thoroughly. His translations manage to replicate the spirit of the originals by using fluent and refined language, as found in his distinguished translation of *Martin Eden* (1955). Wu Lao has a tendency to use literal translation unless adjustments or compensations have to be made for the sake of fluency. In addition, he puts much emphasis on polishing the language with lively diction or Chinese idioms on the basis of reproducing faithfully the meaning of the original (pp. 154-156).

3.4.4.2. Wu’s Translation (1987)

Wu Lao’s translation of *The Old Man and the Sea* was first published by Shanghai Yiwen in August 1987. It was reprinted by the same publisher in 1999 together with Wu’s translation of Hemingway’s novella *The Torrents of Spring* in 11,000 to 18,000 copies.

On the title page of Wu’s translations of *The Old Man and the Sea* and *The Torrents of Spring* published in 1999, it is stated that the two works were translated according to the version published by Charles Scribner’s Sons, New York (1926, 1980), with the copyright granted by Hemingway Foreign Rights Trust. There are a few pictures

³³ The year in brackets in the series of translations done by Wu introduced refers to the year in which each translation was published.

on the next few pages of Hemingway in the 1920s; of the cover of *The Torrents of Spring* introduced as “A romantic novel in honour of the passing of a great race / Ernest Hemingway: Author of *In Our Time*,” of Hemingway with *The Old Man and the Sea* introduced as a work first published in *Life* on 1 September 1952 in a complete version.

Wu Lao wrote a commentary on the multi-layered meanings of *The Old Man and the Sea* in August 1986 and included it as the preface to his translation of the novella (1999). In the preface, he first briefly introduces the background to the creation of the novella and its plot. He then highlights that it is a simple story with multi-layered meanings and a realistic work glorifying heroism by the old man’s remarkable endurance throughout the battle. The work can also be viewed as a Greek tragedy, in which the old man’s tragic fate is caused by his misjudgment of the situation, as well as his mistakes in drifting too far out to sea to catch a huge fish that is beyond his control and fastening it on the boat which makes it vulnerable to the shark’s attack. Therefore, Wu thinks that the old man deserves his fate. In addition, Wu devotes a significant portion to analysing the novella from the perspective of Christianity. He argues that the novella carries strong religious connotations – the suffering of the old man can be compared to the crucifixion of Christ; the raw fish the old man eats and the water he drinks can be compared to the Holy Communion shared by Jesus’s disciples. Moreover, Wu suggests that as a fable, *The Old Man and the Sea* expresses Hemingway’s views on the art of writing. The craft of a fisherman is analogous to the artistry of a writer; the fish is analogous to a great creation by the writer. Other issues include the fusion of an artist and his work in the process of creation, the symbolic meanings of the lion and the sharks, and the struggle of an artist for his basic living. At the end of the commentary, there is an added paragraph written by Wu himself in March 1999, which explains that Santiago was a real figure

as reported in Chicago Forum News on 4 Feb, 1999. It provides further biographical information about the origin of the novella, showing Wu's detailed research into its background.

The translation has no chapter division and retains all paragraphs division as in the original. It contains thirty-five footnotes, explaining in detail the meanings of proper nouns of names such as Sacred Heart of Jesus, Virgin of Cobre, the great Sisler's father, the great DiMaggio; proper nouns of places such as Mosquito Coast, the Canary Islands, Catalan, Casablanca, Cienfuegos; Spanish vocabulary such as "la mar," "guano," "Dentuso," "Galano," "Tiburón," "Eshark"; and objects such as "a long island" and "the two grey sucking fish."

3.4.5. Li Xiyin's Translation (1987)

3.4.5.1. Information about Li Xiyin

According to the *Dictionary of Chinese Translators* (1988, p. 357), Li Xiyin studied Russian in Harbin Foreign Language Institute in 1950. He taught there since he graduated and also learnt lexicography from Russian specialists. Later, he worked in the Editing and Translating Section of the Russian Department of Heilongjiang University. In 1962, he moved to the Institute of Linguistics of the Chinese Academy of Social Sciences, and was involved in the compilation of a Russian-Chinese dictionary. Other than *The Old Man and the Sea*, he also translated the comedy *Gore Ot Uma* (*Wit Works Woe*) of the Russian playwright Aleksandr Sergeyevich Griboyedov, published in 1980, which was commended highly by Mao Dun; *The One Hundred Russian Lyrical Poems* in 1983, Vinogradov's *Introduction to The Grammar of Lexis of Russian*, and *The Grammar of Russian* edited by the Russian Academy of Sciences. He also edited the Russian Encyclopedia Dictionary.

Li has not written much on translation, except for expressing his view on poetry translation as in translating Shelley's sonnet 'Ozymandias,' published in *Foreign Languages Journal* (1983, no. 2). There he suggests upholding the principles of "approximation" and "adjustment" in translating poetry, and that a sonnet needs not and cannot be translated into a similar form with the same rhyming pattern in Chinese (p.73). Moreover, he wrote a short article on "My Reflections on Translation," published in the *Foreign Language Journal of Heilongjiang University* (1987b, no. 2) in which he states his opposition to "careless translation" (胡譯), but supports translating according to the translator's preferences (從吾所好) (p.1). He describes translation as a complicated process of transference from the world of things, through the world of thoughts, to the world of words, during which there are many intricate linguistic, cultural and human factors involved that will affect the outcome. He particularly highlights Wolfram Wilss's concepts of "qualitative balance" and "lessening of the quality" in support of the notion that various forms of adjustments are necessarily made in translation according to the text types of the original, language characteristics, translation purposes and target readers. Finally, he states that "faithfulness" should be the primary principle upheld in translation; yet it should be understood broadly according to the conditions, purposes and methods of translation since translation is an activity of adjusting different relations. "Fluency" and "elegance" should also be maintained to meet the needs of readers. In addition, Li wrote a commentary on "Realism and Symbolism: A Commentary on *The Old Man and the Sea*," published in *Seeking Truth Journal* (1990, no. 1), in which he reviews American, Russian and Chinese critics' opinion of *The Old Man and the Sea* as a work of symbolism. He explores the symbolic meaning of the novella by applying Saussure's ideas of "signifiant" and "signifié" as well as the concepts of "icon," "symbol," and "index" from Peircean semiotics, and associating them with comparable literary techniques in classical Chinese literature. He suggests that the

novella unveils “multi-layeredness” through the special use of narrative and stream-of-consciousness techniques. Finally, he recalls that he was in a restless mood when translating *The Old Man and the Sea*, which triggered his memory of a life of wanderings at the times of war.

3.4.5.2. Li’s Translation (1987)

Li’s translation of *The Old Man and the Sea* was published by Sichuan Wenyi Publisher in 1987 in 9,550 copies.

Diao Shaohua’s (1979) commentary on *The Old Man and the Sea*, entitled “Man is not Made for Defeat,” is included as the preface to Li’s translation. Diao first introduces briefly Hemingway’s theory of the iceberg. He suggests that *The Old Man and the Sea* has rich symbolic meaning since the significant parts of the story are hinted at rather than stated explicitly. He then comments that the battle between the old man and the fierce shark epitomises the brutal human relationship in a capitalist society. The old man is defeated in the battle of life and a victim of capitalism. Hemingway is a bourgeois intellectual who is disillusioned with capitalist society; yet he detaches himself from class struggle and quests for spiritual strength since he finds no hope of changing the reality. The old man’s perseverance, hardboiled character, and an unyielding attitude towards defeats should be highly regarded. Though the old man seems to reveal a mood of optimism, he lacks a realistic ground since he cannot change his fate in reality. In fact, the story manifests the destructive effects of epic individualism. It is a tragedy of a bourgeois intellectual who struggles alone against the power of capitalism. He is doomed to failure as an individual hero isolated from society.

At the end of Li’s translation, he added an afterword in classical Chinese while at

Heilongjiang University in 1984. He first expresses that it is important to fully comprehend and appreciate the beauty of the original in literary translation. He then mentions that he had revised three times the draft of his translation of *The Old Man and the Sea*, and afterwards recreated the story into ten poems; each of which contains four lines of seven characters each that rhyme (七絕十首). They are included as an afterword to his translation, hinting at the pleasures and pains of the translator in understanding and translating the original. The poems are set against the background of a cold, bleak and desolate scenery. The first poem describes the company of the old man with the boy counting the stars together in a deserted setting at night. The second poem depicts the old man's nostalgic lament for his old age, his loss of vigour and his deceased wife. The third to six poems capture the series of life-or-death battles of the old man with the gigantic marlin and the sharks along the Gulf Stream. They highlight the old man's loneliness, suffering and endurance. The seventh poem portrays the few nasty friends of the old man, as a contrast to his pure friendship with the boy and the way he coaches him in fishing. The eighth poem describes the old man's dream of a snowy mountain, a cold and clear setting in which he seems to have an awakening of something unfinished after the fight. Underneath the eighth poem, Li adds a note that he seems to share with the author a similar mood in dreaming of a magnificent view of a snowy mountain and the sea upon finishing the translation of the novella. The ninth poem refers to the symbol of the lion and the popularity of the novella in the world. The last poem briefly introduces the "stream-of-consciousness" technique widely used in the novella and Hemingway's theory of the iceberg, as well as his other famous works translated into Chinese including *For Whom the Bell Tolls* and *The Sun Also Rises* (they are stated in a short note underneath the poem). The afterword of Li's translation ends with an acknowledgment of Li's interview with the Canadian Hemingway specialist James D. Brasch, who gave him good insight into the writer.

Li's translation has no chapter division and its paragraphing is basically similar to that of the original, though occasionally there are minor adjustments in combining two short paragraphs of the original into one like combining the paragraphs "It was getting into the afternoon and the boat...." and "Once in the afternoon the line started to rise again...." (p. 56) or breaking the information of the preceding paragraph to form a new paragraph such as moving the direct speech 'Clear up' to form a new short paragraph (p. 79).

Li provides twenty-six endnotes which are mostly explanations of vocabulary of fish such as "bonita," "albacore," "Mako shark," "Galanos," barracudas; names of people including the "Sacred Heart of Jesus" and the "Virgin of Cobre;" names of places "Casablanca," "Cienfuegos" and "Miami." In addition, a list of specialised terms (which are not found in the original) identifying the specific species of fish is provided in brackets beside the name of each type of fish explained; for example, "albacore" is explained in footnote twelve as "長鰭金槍魚 (Thunnus Alalunga): 屬金槍魚科;" "a yellow jack" in footnote fourteen as "鰹魚: 屬鰹科 (Carangidae);" and "Dolphin" in footnote fifteen as "鯨 屬鯨科 (Coryphaenidae)."

3.4.6. Zhao Shaowei's Translation (1987)

3.4.6.1. Information about Zhao Shaowei

Zhao Shaowei is a researcher of Foreign Languages and Literature Research Institute of the Chinese Academy of Social Sciences ("Zhao Shaowei," 2008). Other than *The Old Man and the Sea*, he also translated "Hemingway's Short Stories" by Herbert Ernest Bates (1941), reprinted from *The Modern Short Story* published in London. The translation was published in Dong Hengxun (1980)'s *Research on Hemingway*, pp. 130-140. Not much is known about Zhao Shaowei as a literary translator.

3.4.6.2. Zhao's Translation (1987)

Zhao Shaowei's translation of *The Old Man and the Sea* was published by Lijiang in 1987, as a collection of works by Nobel writers, translated by Dong Hengxun and others.

The cover of the book states underneath the title *Lao Ren Yu Hai* that the work originates from the American writer Hemingway, who in brackets is introduced as the 1954 Nobel Prize winner. The title page mentions that the work is translated by Zhao Shaowei.

The translation has no preface, but it contains a few other translations of Hemingway and works about him attached at the end. They include Xiang Yu's translations of the presentation speech by Anders Österling, Permanent Secretary of the Swedish Academy as well as Hemingway's acceptance speech on the 1954 Nobel Prize for Literature; Feng Yidai's translation of Hemingway's prose "The Art of the Short Story," which was originally published in *The Paris Review* (1981, no. 79); Dong Hengxun's translation of George Plimpton's interview with Hemingway about his theories of composition, originally appeared in *The Paris Review* (Spring 1958, no. 18) and a bibliography of Hemingway's works edited by Dong.

The translation has no chapter division and retains all paragraph divisions as the original. There are forty footnotes explaining Spanish vocabulary such as la mar, salao, Eshark; unfamiliar objects such as cast net, oakum of the deck, younger fishermen who used buoys as floats for their lines; proper nouns of names like The Great DiMaggio, Dick Sisler, Durocher; proper nouns of places like Guanabacoa, Casablanca. In addition, Zhao provides two footnotes (p. 293, p. 299) to explain how some details of the novella are different from those of its movie. He also provides a

few other footnotes to elaborate the situation of the old man in fighting with the fish; for example (1), he explains why the old man knows that the current changes the direction of the fish and the boat to the eastward (p. 305, footnote 1); (2) he describes more clearly why the boat is moving northward against the eastward current towards the direction of the fish (p. 309, footnote 1); (3) he explains that the old man thinks of putting a small line out with a spoon on it because the latter has used all the baits (p. 337, footnote 1).

4. Conclusion

Having explored both the source-text and the target-text contexts, I find they both appear to operate independently within their own system without much relationship between each other. Although Hemingway himself visited China with his new wife Martha Gellhorn in March, 1941, which caused the rise in his popularity and works translated during that time, this event did not appear to have an effect on the different sociocultural environments in which the four translations were produced later in the early years of the PRC in the mid 1950s and the post-Mao period in the late 1980s. Nonetheless, the investigation of the source-text context is still a worthwhile step; it helps me understand more deeply the style of the original author and the source text, which gives me some initial insight into the stylistically prominent features chosen for textual analysis, to be conducted in the next phase of the research. The sociohistorical research into Hemingway in China conducted in this chapter shows that the rises and falls in his translation history were closely related to the changing political situations of the time, as revealed particularly in the variations in the types of Hemingway's works selected for translation and their reception at different periods of American literature translation in China. Despite scattered pieces of information I gathered about the contexts of production of *The Old Man and the Sea* in given

historical periods, I could find little substantial data about the actual translation situations with regard to the publishers' purposes and requirements for translating the novella, the translators' views on translation and their positioning, the readers' backgrounds and their expectations and so on. This makes it hard to draw inferences about the potential causes that might have contributed to shaping the translators' decision-making processes in rendering the novella.

Chapter Three

Translation of the Transitivity System

1. Introduction

Now I begin the second phase of the research by integrating the tools of corpus studies and systemic functional grammar to conduct textual analysis; the first part of which as done in this chapter is concerned with the application of Halliday's (1994) transitivity model to the comparison of the source text and the target texts. The aims are to examine how the old man's world-view is reproduced in the four translations, and to identify their variations and shifts in the rendering of the material, mental, behavioural, relational and existential processes. The findings are basically gathered from the quantitative analysis of a comprehensive parallel corpus compiled on the basis of the three-day battle in *The Old Man and the Sea*. The chapter falls into five sections. Section one is the introduction, section two is a literature review of the major concepts of the five process types of the transitivity system selected for study; sections three is the application of the transitivity model to the analysis of the source text, and section four is the corresponding analysis of the four target texts for the categorisation of shifts. Finally, in section five, I will conclude by presenting the overall individual preferred patterns of choice of the four versions observed in this corpus study³⁴.

³⁴ Qualitative analysis will follow to contextualise the findings and discuss their significance in Chapter five.

2. Review of Halliday's Transitivity System (1994)

2.1. Process Types

The transitivity system is a resourceful tool for representing the ongoing experiences of the world in the grammar of clauses. It belongs to the experiential metafunction, concerning the strand of "clause as representation." According to Halliday (1994), our experience of the world "consists of 'goings-on' — happening, doing, sensing, meaning, and being and becoming. All these goings-on are sorted out in the grammar of the clause" (p.106). The transitivity system construes various domains of experience into six process types. They are the material, mental, relational, behavioural, verbal and existential processes. Each process type has its own distinctive properties, though the boundaries between different process types are often "fuzzy" and "indeterminate" (Matthiessen, 2004, pp.172-173). Simpson (1993) suggests that transitivity refers to the way meaning is expressed in a clause to encode one's mental picture of reality. The central question asked in a transitivity analysis is "who or what does what to whom or what?" (p.106).

Regarding the six types of process, material and mental processes are the primary ones. The material processes describe events and actions happening in the world while the mental processes reflect our consciousness or inner workings of the minds. There is a distinction between what is going on outside in the reality and what is going on inside in our mental worlds of reflection. The material processes are sub-divided further into event and action processes while the mental processes into perception, cognition and affection ones. The relational processes are concerned with classifying and identifying. They show how one fragment of experience is related to another. They are divided further into the subcategories of attributive and identifying processes. Material, mental and relational processes constitute the majority of clauses. The three other process types belong to the intermediate

subsidiary types. The behavioural processes cross the borderline between material and mental processes. They manifest the acting out of the inner consciousness or physiological reactions. The verbal processes lie between mental and relational processes. They refer to the processes of saying. Finally, the existential processes fall between relational and material processes. They are concerned with existence, the phenomena recognised to “be,” or to exist (Halliday, 1994, pp.106-107; Martin, Matthiessen & Painter, 1997, p.102; Matthiessen, 2004, p.170). The following are examples of the six process types given in Martin et al. (1997, p.102):

Table 3.1. The Six Process Types in the Transitivity System

Process type	Subcategory	Example clause (processes in bold)
Material	event (i.e. happening)	the sugar dissolved
	action (i.e. doing)	she stirred the coffee
Mental	perception	she saw the car
	cognition	she forgot his name/his name escaped her
	affection	she liked his music/his music pleased her
Relational	attributive	Maggie was strong
	identifying	Maggie was our leader
Behavioural	---	she laughed
Verbal	---	she replied
Existential	---	there was once a beautiful princess

2.1.1. Process, Participants and Circumstances

A semantic process represented by a clause consists of three components:

- (1) the process itself, typically expressed by a verbal group,
- (2) the participants in the process, typically realised by nominal groups,
- (3) the circumstances associated with the process, normally expressed by adverbial and prepositional groups.

Each of the six process types is associated with a specific set of participant roles,

representing different phenomena in the semantic system of the clauses (Simpson, 1988, p.167; Simpson, 1993, p.88). In the following, I will provide a brief account of the material, mental, relational, behavioural and existential processes, together with the particular kinds of participant role associated with each that built in the transitivity system. The verbal processes will not be touched on since they are not relevant to the corpus of *The Old Man and the Sea* compiled for this study. Moreover, the review will focus primarily on those concepts appropriate for the analysis of the corpus, since the whole transitivity model is highly complex, involving an intricate system of grammatical concepts that may not be entirely relevant to the specific linguistic features of the text under investigation. The concepts introduced are reviewed from several sources on transitivity, including Simpson (1988, 1993), Eggins (1994), Halliday (1994), Martin et al. (1997), Matthiessen (1995, 2004). I will also provide original examples chosen from the corpus of *The Old Man and the Sea* as illustrations³⁵.

2.2. Material Processes

Material processes are processes of doing and happening. They are a major type of process in the transitivity system. A material process is comprised of two inherent participant roles. One is an obligatory Actor, who is the doer of the process. Another one is an optional Goal, which is the entity affected by the process. Material processes can be subdivided further into “action” processes performed by animate actors or “event” processes performed by inanimate actors. Action processes can be subdivided further into “intention” and “superintention” processes. “Intention” processes refer to those actions performed by the actors voluntarily. “Superintention” processes are those processes that just happen by themselves (Simpson, 1988,

³⁵ The comprehensive parallel corpus of *The Old Man and the Sea*, compiled on the basis of Halliday’s (1994) transitivity model, is attached on the CD-ROM (in section A.1.) with the thesis for reference.

p.167; Simpson, 1993, p.89). I will provide some examples chosen from the corpus of *The Old Man and the Sea* to illustrate the above-mentioned concepts below³⁶.

Table 3.2. Illustrations of Material Processes

Actor	Process: material	Goal	Circumstances
1. He	adjusted	the sack (341)	X
2. He	clubbed at	heads (233)	X
3. He	rubbed	the cramped hand	against his trousers (321)
4. The line	was going out	X	fast but steadily (609)
5. The skiff	was sailing	X	well (512)

In the above examples, examples one to three all belong to action processes, with the old man serving as the actors. Event processes are found in examples four and five, with “the line” and “the skiff” functioning as the inanimate actors. Furthermore, all processes are of the intention type, where the old man performs the actions voluntarily. Finally, the goals are omitted in examples four and five; and the circumstances are omitted in examples one and two, showing that both the goal and the circumstances are optional elements in a material process.

2.2.1. Circumstances

The circumstantial elements provide extra information on the “how, when, where and why” of the process, and they are often deletable (Simpson, 1993, p.90). Circumstances can appear not only in material processes, but also in all other process types (Eggins, 1994, p.237). The following table introduces the different types of circumstance. It is adapted from Martin et al. (1997, p.104), with original

³⁶ Examples are selected from the corpus of *The Old Man and the Sea* I compiled as illustrations of the concepts of the transitivity model introduced in this chapter. The number in brackets beside each example given refers to the number of the clause labelled originally in the corpus.

examples again from *The Old Man and the Sea* corpus provided as illustrations. Nevertheless, the transitivity analysis of this study will focus primarily on the processes and the central participants of the process types, labeled “nuclear transitivity” (Matthiessen, 1995, p. 205), and thus the different types of circumstance will not be investigated.

Table 3.3. Different Types of Circumstances

Circumstance type	Circumstance sub-category	Subcategory probe	Example realization
Extent	Temporal	for how long?	Even if I sleep <u>twenty minutes</u> or <u>half an hour</u> it is good. (499)
	Spatial	how far?	I would like to fly very slowly <u>at two hundred fathoms high</u> (950)
Location	Temporal	when?	<u>Now</u> he was proving it again. (469)
	Spatial	where?	but he placed his left hand <u>on the gunwale of the bow</u> (329)
Manner	Means	by what means?	The old man held him <u>with his left hand</u> (14)
	Quality	how?	The old man held the line <u>delicately</u> (5)
	Comparison	what like?	Work <u>as little as</u> you can (549)
Cause	Reason	why?	You sail lighter <u>for the loss of forty pounds</u> (483)
	Purpose	for what purpose?	He looked around for the bird now <u>because he would have liked him for company</u> (949)
	Behalf	on whose behalf?	Holy Mary, brother of God, pray <u>for us sinners</u> (665)
Accompaniment	Comitative	who/what with?	But you can stay <u>with him</u> for ever (545)
Role	Guise	what as?	You were born <u>to be a fisherman</u> (1142)
	Product	what into?	Make yourself <u>into a claw</u> . (376)
Matter		what about?	Do not think <u>about sin</u> , he thought (1095)

2.2.2. Transitive / Effective versus Intransitive / Middle Clauses

There is a distinction between material processes involving only one participant and those involving two or even three. Processes containing only one participant are called intransitive or middle clauses, while those having two or more participants are called transitive or effective clauses. Middle clauses are probed by “what did x do?” in which “someone does something.” On the contrary, effective clauses are probed by “what did x do to y” in which “someone does something and the doing involves another entity” (Eggins, 1994, pp.230-231). In other words, in a middle clause, the doing is limited to the actor, whereas in an effective clause, the doing is “directed at” the goal which undergoes the process (Halliday, 1994, p.110). For instance:

Table 3.4. Transitive / Effective Clauses

Actor	Process	Goal
He	slipped	his shoulders (178)
He	unstepped	the mast (146)

Table 3.5. Intransitive / Middle Clauses

Actor	Process	Circumstances
He	was rowing	slowly steadily (607)
He	had sailed	for two hours (481)

2.2.3. “Dispositive” versus “Creative” Type of Material Processes

Material processes can be divided further into a “doing to” or “dispositive” type and a “bringing about” or a “creative” type. In a “dispositive” type of material process, the

goal exists prior to the doing, but is affected or transformed in some way by it. Thus, it can often be accompanied by a circumstantial element such as a location or quality to indicate the result of the impact. As for a “creative” type of material process, the goal is brought into existence or created by the doing (Halliday, 1994, p.111; Matthiessen, 1995, pp. 241-242). The verbs commonly associated with a “dispositive” type of material process are such as “blow up,” “break,” “burst,” “chip,” “collapse,” “chop,” “cut,” “crush”; while those with a “creative” type are such as “develop,” “form,” “grow,” “produce,” “dig,” “found,” “build,” “knit” (Matthiessen, 2004, p.187), as the following examples:

Table 3.6. “Dispositive” Type of Material Processes

Actor	Process	Goal	Circumstances
He	cut	the other line	close to him (54)
He	hit	it	without hope (302)

Table 3.7. “Creative” Type of Material Processes

Actor	Process	Goal	Circumstances
his left hand	found	the line (172)	X
He	had rigged	his harpoon	long before (174)

2.2.4. Concrete Versus Abstract Material Processes

Material processes are not necessarily concrete events or actions. They can be abstract doings and happenings. Thus, material processes cover both concrete and abstract doings and happenings. They can construe abstract phenomena (Halliday, 1994, p.111; Matthiessen, 2004, p.196), as the examples below:

Table 3.8. Concrete Material Processes

Actor	Process	Goal	Circumstances
He	pushed	the blade of his knife	into his head (129)
he	picked up	a piece (140)	X

Table 3.9. Abstract Material Processes

Circumstances	Conjunction	Actor	Process	Goal
The thousand times	that	he	had proved	it meant nothing (345)

Actor	Process	Goal
You	violated	your luck (370)

2.2.5. Unmarked “Present-in-Present” Tense for Material Processes

Different from other process types, the unmarked tense selection for material processes is the present-in-present (e.g. is doing) rather than the simple present (e.g. does). The present-in-present tense is used to distinguish continuous actions from those expressed in the simple present tense to describe “general or habitual events” (Halliday, 1994, p.162; Matthiessen, 2004, pp.179-180). In fact, as Halliday (1994) suggests, “the ‘present in present’ is more focused in time; hence it goes with processes that have clear beginnings and endings, as is typical of material processes” (p.116). What follows are some examples of the material processes in the unmarked “present-in-past” tense as commonly used in narratives:

- (1) The old man was sweating now but from something else besides the sun.

(616)

- (2) He was ceding line but more slowly all the time. (450)

(3) But when he was touching the breaking point he held steady. (448)

2.2.6. Perfective (with or without to) and Imperfective Material Processes in Non-Finite Clauses

A material process can be realised not only by a finite verb, but also by a non-finite verb³⁷, usually with a perfective (with or without to) or a non-perfective aspect. To understand better the difference in meaning between the perfective and the imperfective material clauses, it is necessary first to have a basic understanding of the concepts of (1) a clause complex, (2) taxis, parataxis, hypotaxis, and (3) a hypotactic dependent non-finite clause in a clause complex as introduced by Halliday (1994).

(1) a clause complex

A clause complex is a constituent of grammar, the only grammatical unit recognised above the clause. It can be used to avoid the ambiguous definition of a sentence since a sentence is no more than “the orthographic unit” contained between full stops (Halliday, 1994, p.216). A clause complex is formed by relating one clause to more further clauses to form a series of clauses. For example:

We loved the show ourselves → so we'll get tickets for Tim and Josie → when they come over next month → to visit her mother... (Martin et al., 1997, p.165)

(2) taxis, parataxis, hypotaxis

Taxis is concerned with the interdependent relationships between the grammatical units in a group complex or a clause complex. It is a system including two options –

³⁷ Halliday (1994, p.198) explains that a finite verbal group realises the system of tense while a non-finite or modalized verbal group “has no deictic tense element” since a non-finite verb is “not anchored in the here-&-now.” Wright and Hope (1996, p.80) provides the following definition of finite and non-finite verbs:

Verbs are either finite or non-finite. Finite verbs have tense (I laughed) and agree with the Subject (I write, she writes). Non-finite verbs lack both of these. There are three non-finite forms of the verbs: the –ing form, the infinitive, and the past participle (which often ends in –ed).

parataxis or hypotaxis, which are somewhat similar to but not the same as coordination and subordination in traditional grammar. If the two grammatical units in a complex are of equal status, then they form a paratactic relation (parataxis). By contrast, if the two units are of unequal status, with the primary one serves as a dominant element and the secondary one dependent on it, then they form a hypotactic relation (hypotaxis) (Halliday, 1994, pp.216-218; Martin et al.,1997, pp.167-168). In a paratactic clause complex, the two clauses are “free” and can stand alone; they are often “symmetrical” and joined by “and” in a fixed sequence (Halliday, 1998, p.221). The following are two examples of paratactic clauses given by Martin et al. (1997, p.168):

He looked terrible; his clothes were crumpled and dirty.

He hated her, for she seemed in some way to make him despise himself.

As for a hypotactic clause complex, there is a distinction between the primary and the secondary clause, which can occur in an $\alpha \rightarrow \beta$ or $\beta \rightarrow \alpha$ order.³⁸ Yet in hypotactic expansion, “it is always the secondary clause that is dependent, that does the expanding or gets projected” (Halliday, 1994, p.220). Also, only the primary, the dominant element is free; but the secondary, the dependent element is not (ibid.). The secondary dependent clause may be finite or non-finite, yet the other clauses in the complex are finite (Halliday, 1994, p.222). The following are some examples of non-finite dependent enhancing clauses provided by Halliday (1994, p.238):

They must be crazy, throwing all that good stuff away.

Being somewhat irritated by the whole procedure he induced a fit of coughing and left.

Turn off the lights before leaving.

While pondering which way to go I completely lost my bearings.

³⁸ α and β are the Greek letter notation used for representing the primary element – α , and secondary or modifying element – β – in the structure of a group (Halliday, 1994, p.193, 218).

(3) a hypotactic dependent non-finite clause in a clause complex

Referring to the above examples, the secondary clause in a hypotactic clause complex bears an implicit dependent relationship with the primary clause since there is no explicit indication of its dependent status. Also, the Subject is often “left implicit,” and has to be inferred from the primary clause, and therefore the meaning is “less specific” (Halliday, 1994, p.229, p. 240). Indeed, much information is lost as a finite independent clause is changed to a non-finite dependent clause such as “You will reach the monument; ...” is changed to “(On) reaching the monument,....” (Halliday, 1994, p.241).

Other than the distinction in meaning between a finite and a non-finite clause as introduced above, there are also different meanings between the perfective (with or without to) and the imperfective aspect in a hypotactic dependent clause as found in examples below (ibid.):

Reaching the monument, continue straight ahead.

To reach the monument, continue straight ahead.

According to Halliday, the difference in meaning between the perfective and the imperfective aspect is very “fluid and indeterminate.” Generally, “the imperfective means act in progress, actual, present, ongoing, steady state or (dependent) proposition, while the perfective means goals to be attained, potential, future, starting and stopping, change of state or (dependent) proposal.” Sometimes the differences are obvious as in the above examples between “reaching” and “to reach;” sometimes they are just very slight (ibid.).

What follows are some other examples of the perfective (with or without to) and the imperfective material processes found in the non-finite clauses of the *Old Man and the Sea* corpus:

perfective (with to)

and he pushed against the wood to be warm (690)

and he shrugged the muscles of his back to shift the hurt of the cord a little (692)

He put his hands in the water again to soak them. (418)

perfective (without to)

and he let the line slip down, down, down, (380)

let me put the harpoon into you (397)

Make yourself do it (420)

imperfective

and the old man was sure that by gaining some more line he could have him alongside (437)

and shipped to oars without bumping the boat (443)

and crouching and holding the big line with his right hand and arm (447)

2.2.7. The Secondary Verbal Group in a Hypotactic Verbal Group Complex

Similar to a clause complex, a verbal group can be linked paratactically or hypotactically with another verbal group to form a verbal group complex. To understand better how a verbal group can expand, it is necessary first to know what a “lexical verb” is. A “lexical verb” is the verb found in a verbal group. For example, in the verbal group – “has been eating,” it contains a lexical verb “eat,” which comes last; a finite verb “has,” which comes first; and an auxiliary verb “been” which comes in between. The sequence of these three components is fixed (Halliday, 1994, p.196). A verbal group ends with the Event, and the “lexical verb” is the class of word functioning as Event in a verbal group, which is distinguished from the finites and the auxiliaries (Halliday, 1994, p.197, p.207). Thus, in the above example, the verbal group ends with the lexical verb – the Event – “eat.” Two lexical verbs can be joined

together to form a hypotactic verbal complex in a single clause such as “they practiced → whistling,” “they were forced → to leave” (Martin et al., 1997, p.116).

In a hypotactic verbal complex, similarly, there is a primary and a secondary group, realising respectively an independent and a dependent status. Also, the primary group may be finite or non-finite; but the secondary group, because of its dependent nature, is always non-finite. It may be perfective (with or without to) such as “(to) do,” or imperfective such as “doing” in aspect. Regarding the difference in meaning between the perfective and the imperfective aspect in a hypotactic verbal group complex, Halliday (1994) restates that generally “the perfective is ‘unreal’ and the imperfective is ‘real’; they may be opposed in any one of a number of contrasts, as future to present, appearance to reality, starting off to going on, goal to means, intention to action, or proposal to proposition; and sometimes the difference between them is minimal” (p.278). The following table lists some of the examples given by Halliday (ibid.) to explain the distinction in meaning between the two aspects:

Table 3.10. Perfective and Imperfective in the Secondary Verbal Group

Perfective		Imperfective	
the potential – ‘irrealis’ (to-) do		the real – ‘realis’ (a-, i.e. ‘at, in’) doing	
Initial state	starts to win	ends up winning	Final state
Activating	begins to work	keeps working	Maintaining
Goal	try to relax	try relaxing	Means
Intention	decide to write	gets down to writing	Action
Proposal	would like to paint	likes painting	Proposition

The secondary verbal group can be related to the primary group in many different ways, one of which is in a “phase” relation, serving to distinguish further the aspect of

an action. There are many different categories in the system of phase, two of which are the “durative” time-phase and the “inceptive / conclusive” time-phase. The former is realised in an imperfective aspect such as “keeps (on) doing” while the latter can be in imperfective such as “starts / ceases doing” or perfective such as “starts / ceases to do” (Halliday, 1994, pp.279-280). Concerning the differences between the durative and the inceptive time-phase, Halliday suggests that the durative construes “going on,” while the inceptive / conclusive construes “starting and stopping.” Both categories of the phase system express general processes of “becoming” in a hypotactic relation between two processes (ibid.).

Other than the inceptive-time phase relation, the secondary group can also be related to the primary group in a “conation” relation, meaning “trying and succeeding.” The typical verbs realising such kind of process are “try to do,” “attempt to do,” “succeed in doing,” “get to do” and so forth (Halliday, 1994, p.p.280-281). They all construe the “actual” processes of trying to or succeeding in accomplishing something. Halliday provides the following breakdowns of a process realised by the perfective “try to do” to illustrate the conation relation of a hypotactic verbal group complex (ibid.):

Table 3.11. Hypotactic Verbal Group Complex: Conation

Actor	Process: material	Goal
Alice	tried to reach	the key
$\alpha \rightarrow + \beta$		

Finally, it is important to notice that even though a hypotactic verbal group complex contains two lexical verbs, it construes only one single process, one happening only (Halliday, 1994, p.282). In a transitivity analysis, it is the secondary non-finite group

that is relevant for the process type. The first verbal group elaborates on the Process, providing extra information about its realisation. Furthermore, both verbal groups share the same participant; for example, in the clause “they will start to enjoy the camp next week,” the actual Process is expressed by the secondary group – “to enjoy,” the first verbal group “will start” provides information about the phase of the process, and both groups share the same participant – “they” (Martin et al., 1997, pp.116-117).

The following are some more examples of the inceptive time-phase and the conative relations of the secondary verbal groups in hypotactic verbal group complex:

the secondary verbal group realising an inceptive time-phase relation:

Then his head started to become a little unclear (599)

and he commenced to pull on it gently with his right hand (392)

Then he began to pity the great fish that he had hooked (400)

and he began to shift more of the strain to it (691)

the secondary verbal group realising a conation relation:

and tried to gentle his fingers (409)

and tried to keep his head clear (419)

Each one was trying to force the other’s hand down onto the table (472)

He tried to increase the tension (693)

2.2.8. Goal versus Range in Material Processes

The Actor and the Goal are the participant roles directly involved in the Process – the one does something together with the one that is done to. In addition to the Actor and the Goal, there are other participant roles in a material process, a major one of which is the Range. It is a related participant specifying the scope or domain of a doing or a happening (Halliday, 1994, p.146). Halliday (1994) makes an important distinction

between a Goal and a Range. A Range cannot be probed by “do to” or “do with” whereas a Goal can; for instance, in “Mary climbed the mountain,” the Range is “the mountain” functioning to specify the scope of Mary’s climbing and it exists independent of the act of climbing (p.146). Furthermore, a Range cannot have a resultative Attribute as a Goal can, as in “she moved the chair into the corner,” “into the corner” is the circumstance of location, and in “she scrubbed the chair clean,” “clean” is the circumstance of quality. Unlike the Goals in both of the above examples, a Range can never be accompanied by a representation of the result of a Process; for example, we do not have “she climbed the mountain into fame” because “the Range is not impacted on by the performance of the Process” (Martin et al.,1997, p.104).

In a material process, the Range either specifies the extent or the scope of the Process or expresses the Process “either in general or in specific terms,” as in the following examples given by Halliday (1994, p.147):

- | | |
|-----------------------|-------------------------|
| 1. general: | they played games |
| 2. specific: quantity | they played five games |
| 3. specific: class | they played tennis |
| 4. specific: quality | they played a good game |

The Ranges in the above examples (two, three, four) specify further the number or kind of games played. But in some cases, a Range may be not an entity at all, but is simply a restatement of the process; for instance, in “sing a song,” “song” is just another name used to refer to the act of singing. A Range can be divided further into the “entity” or the “process” type, such as in “the dormouse crossed the court,” the Range is “the court” indicating an entity, while in “the whole country is paying a heavy price,” the Range is “a heavy price” unfolding a process (ibid.).

A Range in a material process is typically found in a middle clause, where there is

only one participant – an Actor, and it is sometimes difficult to differentiate a Range from a Goal. To help identify a Range, there are some rules that can be applied, which are listed by Eggins (1994, p.234) as follows:

1. If the participant is a Range, you cannot probe with “what did x do to y?”
2. A Range cannot be a personal pronoun.
3. A Range cannot usually be modified by a possessive, such as “Just give me your whistle.”
4. A Range is less likely to become Subject than a Goal; for example, it is odd to say “The whistle wasn’t given by you, was it?”
5. A Range can often be realised by a prepositional phrase, such as “He plays beautifully on the piano.”
6. A Range using a “dummy verb” can be collapsed into one verb, such as “give a whistle – whistle.”

Eggins (1994, p.235) provides the following examples to show the distinction between a Range and a Goal:

Table 3.12. The Distinction between a Range and a Goal

Range	Goal
kick a goal	kick the dog
serve a dinner	serve the ball
give a smile	give a present
make a mistake	make a cake

Below are some more examples of Ranges:

but just when he reached the point where it could break (630)

made a turn around his sword (647)

and get some rest and a little sleep (660)

He took one look at the great fish (657)

and started up the road (662)

If I lose the glare of Havana (683)

2.3. Mental Processes

Mental processes encode meanings of feeling, thinking and perceiving. They are internal reactions to the phenomena of the world rather than external tangible actions as construed in material processes. The central question asked in a mental process is “what do you think/ feel/ know about x?” (Eggins, 1994, p.240). Regarding the participant roles associated with a mental process, the inherent participant is always a conscious human being who is capable of seeing, thinking or feeling, labeled the “Senser.” Furthermore, there is a non-active participant that is being seen, thought or felt by the Senser, labeled the “Phenomenon” (Eggins, 1994, pp.242-243).

Unlike material processes, there is no further distinction between the “transitive” and the “intransitive” in mental processes, since all mental processes potentially have both a Senser and a Phenomenon though in some cases, the Phenomenon can be implied rather than stated explicitly; for example, in “Jill can’t see, Tim knows,” what Jill sees and Tim knows are made implicit, but it is presumed that they exist (Halliday, 1994, p.118). Mental processes are bi-directional or two-way. They can be construed either as the emotion emanating from the Phenomenon or the Phenomenon causing the emotion, such as it is both possible to say “Mary liked the gift” or “the gift pleased Mary.” The former is labeled the “like type” and the latter the “please type.” Thus, either the Senser or the Phenomenon can be the Subject, which still maintains the clause in the active voice (Halliday, 1994, p.116).

2.3.1. Sub-Types and Phenomenon of Mental Processes

Mental processes can be divided into four sub-types. They are (1) perception – verbs of seeing, feeling, hearing, and so on, (2) cognition – verbs of thinking, knowing, understanding, and so on, (3) desideration – verbs of wanting, wishing, intending, and so forth, and (4) emotion – verbs of loving, hating, liking, and so forth (Matthiessen, 2004, pp.208-210). The following table lists some of the verbs commonly associated with the four sub-types of mental process introduced by Matthiessen (1995, p.260; 2004, p.210):

Table 3.13. Examples of Verbs Serving as Process in Mental Clauses

Sub-type of mental process	mental processes
Perception	see, hear, feel, notice
Cognition	know, think, believe, remember, consider
Desideration	want, desire, wish, hope (for), decide
Emotion	love, hate, enjoy, like, fear

There is a wide range of experience that can be represented as a Phenomenon in a mental process. Similar to the Goal of a material process, the Phenomenon in a mental process can be any “person, creature, object, institution or abstraction,” or any kind of “action, event, quality, state or relation.” In fact, the Phenomenon of a mental process can construe not only a thing, but also an act or a fact (Halliday, 1994, p.115).

A Thing as the Phenomenon of a mental process is normally realised by a nominal group, as in the following examples of the perceptive processes of seeing:

He saw the phosphorescence of the Gulf weed in the water (713)

he saw the red sifting of the plankton in the dark water (716)

When he saw the first of the two-sharks (742)

Other than Thing, Act and Fact are the two other sub-types of embedded Phenomenon found in mental processes. An Act refers to an action, an event or a phenomenon perceived by the conscious Sensor, and thus it is restricted only to mental processes of perception—seeing, hearing, noticing, and so forth. An Act Phenomenon is also named as Macrophenomenon in a mental clause, which can be realised by an imperfective or a perfective non-finite clause in a mental process of perception (Matthiessen, 2004, p.204), as in the examples below:

Table 3.14. Macrophenomenon Realised by Perfective Non-finite Clauses

Sensor	Process: mental	Phenomenon: act	Circumstances
he	saw	one of the projecting green sticks <u>dip</u>	sharply (759)
he	saw	the first of the lions <u>come</u> down	onto it (762)

Table 3.15. Macrophenomenon Realised by Imperfective Non-finite Clauses

Sensor	Process: mental	Phenomenon: act
he	saw	the line <u>slanting</u> (768)
he	saw	one on the surface <u>swimming</u> in circles (778)

The above examples in table 3.14. are realised in the perfective without to – “dip,” “come down”; while those of table 3.15. are realised in the imperfective by using the present participles “slanting” and “swimming.” Both sets of examples are different from each other in their temporal meanings. The perfective set is bounded in time,

indicating the end state of the processes whereas the imperfective one is unbounded in time, referring to actions in progress. Matthiessen (1995, p.274) makes a clear distinction between the bounded and the unbounded type of macrophenomenal clauses in mental processes of perception:

the unfolding is either bounded in time, in which case the nonfinite clause realising the Phenomenon is a bare infinitival one, i.e., perfective, or unbounded in time, in which case it is present participial one, i.e. imperfective (cf. Kirsner & Thompson, 1976).

Fact can also be represented as Phenomenon in mental clauses. A Fact is named as “Metaphenomenon” in a mental process (Halliday, 1994, p.115). It is usually an embedded finite clause, introduced by “that” to denote a fact or a state of affairs (Eggins, 1994, p.244); for instance:

Table 3.16. Metaphenomenal Fact Clauses

Senser	Process: mental	Phenomenon: fact
The old man	could see	that he was very tired (784)
He	felt	that perhaps he was already dead (826)

It is not always easy to differentiate a clause serving as an embedded Phenomenon or as an independent projected clause. For the above two clauses, the metaphenomenal fact clauses can both be made Subject and theme-predicated, such as it still makes sense to say:

(The fact that) he was very tired could be seen by the old man.

(The fact that) perhaps he was already dead was felt by him.

Thus, one test helps to differentiate an embedded phenomenal fact clause from a projected clause is to check whether the clause concerned “can function as Subject

in a passive variant of the clause;” for example, it is odd to express the projected clause – “The supervisor wanted them to leave” – in the passive form such as “(For them to leave was wanted by the Supervisor” (Martin et al., 1997, p.121); thus it is not an embedded fact clause since the projected clause cannot be made Subject and theme-predicated.

A Metaphenomenon can be a fact or an idea. An idea can be brought into existence or projected through a cognitive or a desiderative or an emotive process. It is not a pre-existing fact as that construed in a fact clause (Martin et al., 1997, p.181). In fact, a mental clause has the ability to project another clause as a representation of an idea, a belief, and so forth. The projected clause is called an idea clause, which is separated from the mental clause as the representation of the content of consciousness (Matthiessen, 2004, p.206). Thus, while a fact clause serves as the embedded Phenomenon, a participant of a perceptive clause, and can be made Subject and theme-predicated as explained above; an idea clause is a projected clause treated as a separate part of the mental clause complex, but joint together with the projecting clause in a hypotactic relation (Halliday, 1994, p.252; Matthiessen, 2004, p.206). The projected idea clause is usually represented as a reported or indirect “that” clause. For example, in the sentence “Dr Singleman always believed that his patient would recover,” the projecting clause – “Dr Singleman always believed” belongs to a mental process of cognition, which is separated from the projected metaphenomenon–“his patient would recover.” The two clauses are treated as separate parts of the whole cognitive process, but still bear an interdependent hypotactic relation, with the projected clause functions as the dependent clause (Halliday, 1994, p.252).

2.3.2. Projected Ideas as Propositions versus Projected Ideas as Proposals

There is a further distinction between projected ideas as propositions and projected ideas as proposals. Propositions and proposals can both be projected hypotactically by mental clauses as indirect thoughts in the form of reported clauses. Propositions concern “indirect commands, offers and suggestions,” while proposals concern “desired states of affairs.” Projected proposals belong to the realm of the “irrealis, or non-actualized,” and the projecting clauses represent “the mental processes of actualization” (Matthiessen, 2004, p. 458). Furthermore, the projected or reported clause realised in propositions is often finite whereas that in proposals may be finite or non-finite (ibid.). In other words, propositions are “exchanges of information” projected by cognitive processes of thinking, knowing, understanding, and so on; whereas proposals are “exchanges of goods – & – services” projected by desiderative processes of desire. Therefore, “while propositions are thought, proposals are hoped” (Matthiessen, 2004, p.461). Finally, it is important to notice that cognitive clauses can project, but perceptive clauses do not project nor do emotive clauses of the reaction type, such as “enjoy or dislike” (Martin et al., 1997, p.121). The following table provides some examples given by Martin et al. (1997, p.122) to illustrate the above-mentioned concepts.

Table 3.17. Mental Process Sub-Types

Mental Process	Projection possible?	Type of idea projected	Example
perception	no	X	X
cognition	yes	proposition (statement, question)	he knew → that it was too late he wondered → if it was late
affection: desire	yes	proposal (command)	he wishes → us to leave we'd like → them to play sport
reaction	no	X	X

The following are some examples of projected ideas as propositions of the cognitive processes versus projected ideas as proposals of the desiderative processes:

projected ideas as propositions of the cognitive processes:

It was then he knew the depth of his tiredness (876)

He knew that half of him had been destroyed (859)

and he thought that now, soon, he must hit the edge of the stream (905)

Besides I believe it is a sin (930)

projected ideas as proposals of the desiderative processes:

and he loved to walk on them on the beach after a storm (953)

I would like to fly very slowly at two hundred fathoms high (950)

I hope no one has been too worried (958)

I could not expect to kill them, he thought (962)

2.3.3. Perceptive Processes of Feeling – Agnate Relational Attributive Processes

There is an overlap between mental and relational processes, and clauses such as “He felt very tired now” (828), “he felt faint again,” (829) “I feel much better” (837) can be interpreted either as mental or relational processes. The verb “feel” realising the mental process of perception can also be interpreted as the attributive intensive synonym of the intensive verb “be” commonly used in relational processes. Thus, the above clauses can also be expressed as “he was very tired now,” “he was faint again,” and “I was much better.” Moreover, the emotion of the Senser, such as “very tired,” “faint” and “much better” is construed as a quality (a nominal group with Epithet as Head) ascribed as an Attribute to a Carrier in a relational process. Therefore, this type of perceptive mental process is agnate to the “relational attributive” processes, and can be interpreted either way. The Epithet, e.g. “(very) tired,” “(much) better” realising the Attribute, can often be modified by submodifiers like “so,” “very,” “too” to

express a gradable quality of emotion (all these participant roles associated with relational processes will be introduced in section 2.5. below. For the sake of coherence and convenience, I grouped this type of perceptive process of feeling under the category of the mental processes of perception for totaling the number of occurrences of the feeling processes.

2.4. Behavioural Processes

Behavioural processes are a subsidiary process type, located at the boundary between material and mental processes. They are typically processes of physiological and psychological behaviour like watching, looking over, breathing, testing, staring and dreaming. They are similar to mental processes in that one conscious participant is endowed with human consciousness (like the *Senser* in mental processes), labeled the *Behaver*. Behavioural processes are similar to mental processes, except that the latter occur nonbehaviourally; for example, “look at” is behavioural, but “see” is mental; “listen to” is behavioural but “hear” is mental (Eggins, 1994, p.250). The majority of behavioural processes are middle, consisting of *Behaver* and *Process* only, such as “Don’t breathe! No – one’s listening, He’s always grumbling” (Halliday, 1994, p.139). Some behavioural processes can contain another participant, which is called a *Phenomenon*; for example:

Table 3.18. Behavioural Processes with Phenomenon

Behaver	Process: behavioural	Phenomenon
He	watched	his lines (971)
The old man	looked at	the fish (1009)

Behaviour processes often appear with circumstantial elements such as those of *Matter* and *Manner*:

Table 3.19. Behavioural Processes with the Circumstance of Matter

Behaver	Process: behavioural	Circumstance: Matter
He	looked up	at the sky (1006)

Table 3.20. Behavioural Processes with the Circumstance of Manner

Behaver	Process: behavioural	Circumstance: Manner
The old man	looked	carefully (1018)

The Matter type of circumstance is often realised by a prepositional phrase such as “he had looked at the arm and hand of the Negro” (1011), “he looked down into the water” (999). Behavioural processes function more like one of doing rather than of “thinking/ feeling.” Moreover, like material processes, they cannot project, i.e., they cannot quote or report; for example, it is odd to say – “They’re all listening [that] Simon’s story” (Eggins, 1994, p.251).

2.5. Relational Processes

Relational processes are processes of being, having and being at. They serve to characterise and to identify (Matthiessen, 1995, p.297; Matthiessen, 2004, p.210). They represent a relationship that exists between two elements in a clause. The relationship may be intensive, representing an ‘X is a’ relationship (e.g. in “Mary is wise”), possessive, representing an ‘X has a’ relationship (e.g. in “Gill has a guitar”) or circumstantial, representing an ‘X is at / on a’ relationship (e.g. in “Bill is at home”) (Simpson, 1993, pp.91-92). In other words, in a relational clause, something is said to ‘be’ something else. There is a relationship being set up between two separate

entities. According to Halliday (1994, p.119), there are three main types of relational process:

- (1) intensive 'x is a'
- (2) circumstantial 'x is at a' (where 'is at' stands for 'is at, in, on, for, with, about, along, etc.')
- (3) possessive 'x has a'

Each of these can be divided further into two different modes:

- (1) attributive 'a is an attribute of x'
- (2) identifying 'a is the identity of x'

This generates six categories of relational process, as illustrated in Table 3.21. below (ibid.):

Table 3.21. The Six Categories of Relational Process

Type / Mode	Attributive	Identifying
(1) intensive	Sarah is wise	Tom is the leader; the leader is Tom
(2) circumstantial	the fair is on a Tuesday	tomorrow is the 10th; the 10th is tomorrow
(3) possessive	Peter has a piano	the piano is Peter's Peter's is the piano;

There are many differences between the attributive and the identifying modes. One major distinction, as revealed in the above table, is that identifying relational clauses are reversible, while the attributive ones are not. For example, "Tom is the leader" and "the leader is Tom" is reversible, but "Sarah is wise" is not agnate to "wise is Sarah" (ibid.). As the participant roles associated with the categories of the intensive attributive, intensive identifying, circumstantial attributive, circumstantial identifying and possessive attributive processes are all relevant to the *The Old Man and the Sea*

corpus studied, all these concepts will be introduced briefly in the following.

2.5.1. Intensive Attributive Processes

In an intensive attributive process, there are two participant roles – the Carrier and the Attribute. The Carrier is an entity having some quality ascribed or attributed to it. The quality characterising the Carrier is labeled the Attribute, expressing an “X is a member of the class of a” relationship. The Attribute is typically an indefinite nominal group. It can be an adjective (e.g. is / are wise), or a common noun introduced by a / an as Head (e.g. is a poet, are poets). But it cannot be a proper noun or a pronoun. The intensive attributive clause expresses a ‘x is a’ relationship, in which the most typical verb is be, and x and a are nominal groups. Many other verbs serving the function of “be” can also be used, including “turn,” “grow,” “keep,” “remain,” “look,” “feel,” “seem.” All these verbs realising the relational processes belong to the “ascriptive” classes (Halliday, 1994, p.120).

The Attribute of intensive attributive processes can be divided further into two types – quality and entity. The quality Attribute is realised by a nominal group with Epithet as Head (e.g. very generous), and the entity Attribute by a nominal group with Thing as Head (e.g. he was an architect). The Epithet for a qualitative attribute, realised by an adjective (or participial verb form), is frequently submodified by adverbs of degree such as “very, extremely, greatly, including the comparative adverbs as; more, most; less, least; too;” for example, “I think mum’s more upset than he is” (Matthiessen, 2004, p.221).

With regard to the domain of attribution, relational clauses may construe both “inner experience,” referring to “subjective sensations,” and “outer experience,” referring to “attributes that are construed as objective properties of macrothings and metathings”

(Matthiessen, 2004, p.223). Examples of the former are such as “he was very cold” (1065), “he was happy to see” (1069), and “I am crazy” (1083), revealing the subjective emotions of the old man. Examples of the latter are such as “it is rougher where you are going until you make the shore” (1120), and “[i]t is too dangerous to rig the oars as a drag if you must sleep” (1129), expressing the old man’s comments on some objective facts – “metathings.” Thus, the attributes can be “material” or “semiotic” (ibid.). Furthermore, the attributes within the “semiotic” domain can be sub-divided further into (1) emotion/ attitude type such as sad, tragic, delightful, (2) cognition / probability type such as doubtful, certain, likely, and (3) desideration / obligation type such as desirable, acceptable, appropriate. Within the “semiotic” domain of attribution, there is one type of Attribute denoting a quality of sensing, which is equivalent to the Process of a mental clause, and it may be realised by a participle formed from a mental process verb (ibid.); for example, “he was sorry for the great fish” (1037), “It is humiliating before others to have a diarrhoea from ptomaine poisoning to vomit from it” (1123). Furthermore, relational processes with a quality of sensing are divided into two types: those fall into the “like type” of mental clauses, with Carrier serving as Senser, and those fall into the “please type,” with Carrier serving as Phenomenon (ibid.). Examples of the former are such as “I am not good for many more turns” (1030), “I’m clear enough in the head,” (1044); examples of the latter are such as “It was difficult in the dark” (1094), and “It was not unpleasant” (1121).

2.5.2. Intensive Identifying Processes

In contrast to the intensive attributive processes, the intensive identifying processes are not about ascribing or classifying, but defining. This means that one entity is being used to identify another: “x is identified by a” or “a serves to define the identity of x.” The x-element, that which stands for what is being defined is interpreted as the Identified and the a-element, that which serves to define as the Identifier.

Grammatically, the former (the Identified) is labeled the Token and the latter (the Identifier) as the Value. For example:

Table 3.22. Intensive Identifying Process

Identified / Token	Process: intensive	Identifier / Value
My choice	was	to go there to find them beyond all people (1215)

In the above clause, “My choice” is construed as the Identified /Token, being defined by the Identifier/ Value “to go there to find them beyond all people.” Both the Token and the Value are realised by nominal groups, typically definite, contrasting with the indefinite nominal groups in intensive attributive processes such as “the skinny one” (identifying) versus “a skinny one” (attributive). The most frequently used intensive identifying verb is “be,” other similar ones belong to the “equative” classes such as “equal,” “signify,” “indicate,” “symbolise,” “stand for” (Eggins, 1994, pp.258-259; Halliday, 1994, pp.122-123).

One major distinction between the intensive identifying clauses and the intensive attributive ones is that the former are reversible, i.e., they can form passives, while the latter cannot (ibid.). For instance:

Table 3.23. Intensive Attributive Processes (in active voice):

Identified / Token	Process: intensive	Identifier / Value
That	was	the thing that I was born for (1217)
The wind	is	our friend (1218)

Table 3.24. Intensive Identifying Processes (can be in passive voice)

Identifier / Value	Process: intensive	Identified / Token
The thing that I was born for	was	that
Our friend	is	the wind

The above examples show that intensive identifying clauses (applicable to all kinds of identifying clauses) are reversible, i.e., they can be expressed in both an active and a passive form. Moreover, it is a general rule that in an active clause, the Identified / Token always functions as the Subject; while in a passive clause, it is the Identifier / Value that functions as the Subject (ibid.).

2.5.3. Circumstantial Relational Processes

Circumstantial relational processes express the relationship between two elements in terms of time, place, manner, cause, accompaniment, role, matter or angle. Similar to the intensive and the possessive relational processes, this type of process can be sub-divided into the attributive and identifying modes. In the attributive mode, “the circumstantial element is an attribute that is being ascribed to some entity” (Halliday, 1994, p.130). For example:

Table 3.25. Circumstantial Attributive Process

Carrier	Process: intensive	Attribute (Circumstance: location)
The sun	was	on the old man's left arm and shoulder (1174)

The circumstance – “on the old man’s left arm and shoulder”– is expressed in the form of the Attribute of the Circumstance of location, realised by the preposition “on.”

The verb remains intensive. In circumstantial attributive processes, the Circumstance is expressed in the Attribute, which is often realised by a prepositional phrase or an adverb of location, manner, cause, and so on (Eggins, 1994, p. 262); for example “with” and “like” in “I am with a friend (1180), and “my feet and hands are like theirs (1181), respectively expressing the Circumstance of accompaniment and the Circumstance of manner. Moreover, being attributive, these clauses are non-reversible, with no passive equivalents.

In the identifying mode, the circumstance expresses the relationship between two entities, which are related to each other in terms of time, place, manner and so forth (Halliday, 1994, p.131). With circumstantial identifying processes, the circumstantial meanings may be encoded within the participants. In such cases, both the Token and the Value will be circumstantial elements of time, place, and so on, while the verb remains intensive (Eggins, 1994, p.263):

Table 3.26. Circumstantial Identifying Processes

Identified / Token / Circumstance: time	Process: intensive	Identifier / Value / Circumstance: time
today	is	eighty-five days (1227)
Each time	was	a new time (1228)

In the above examples, “today,” “eighty-five days,” “Each time” and “a new time” are all time elements, functioning as participants through which the circumstantial meanings are encoded. Like other identifying clauses, this type of circumstantial identifying clause is reversible (Halliday, 1994, p.131); for example, it still makes sense to express the above examples in the passive voice such as “eighty-five days is today,” “a new time was each time.”

2.5.4. Possessive Attributive Processes

In the possessive type of relational process, one entity possesses another, expressing an ownership kind of relationship between two elements; for example: “he had a big blue runner and a yellow jack that had been used before” (1184). The concept of possession extends in a broader sense to include clauses representing “possession of body parts and other part-whole relations, containment and the like, ... and also possession of abstractions” (Matthiessen, 2004, pp.244-245); for example:

he would have welts and sores on his arms and hands (1185)

he had a friendly contempt for the huge, stupid logger-heads, (1186)

He had no mysticism about turtles (1187)

I have such a heart too (1197)

In the above clauses, the possession includes the possession of body parts such as “welts and sores on his arms and hands,” human sensations as “such a heart” and abstract entities as “mysticism” and “a friendly contempt.” In addition, in the attributive mode, one type of possessive clause is to encode the relationship of possession as the Process, in which the possessor is the Carrier and the possessed is the Attribute (the “possessed” refers to the thing possessed rather than the “possessor” to avoid ambiguity) (Halliday, 1994, p.133), such as the examples below:

Table 3.27. Possessive Attributive Processes

Circumstance: location	Carrier / Possessor	Process: possession	Attribute: possessed
Now	he	had	six reserve coils of line (1190)
After that	he	had	a few matches (1191)

In the above clauses, “six reserve coils of line” and “a few matches” are both

ownership of attributes being ascribed to the old man. Also, this type of possessive attributive clause is not reversible; we do not say “six reserve coils of line were had by he,” or “a few matches were had by he.”

2.6. Existential Processes

Existential processes represent that something exists or happens in the form of “there is / was something.” For instance:

There were other boats (1231)

There was plenty of line (1247)

There are plenty of things I can do (1261)

The word “there” in the above clauses has no representational meaning, but is required as all English clauses need a Subject. Existential processes typically use the verb “be” or related verbs such as “exist, remain, arise; occur, come about, happen, take place” (Halliday, 1994, p.142).

2.6.1. Existent as an Entity versus Existent as an Action or Event

The only obligatory participant in an Existential process is the Existent, which refers to the object or event said to exist. The Existent can be any kind of phenomenon, ranging from “a thing: person, object, institution, abstraction” to any “action or event” (ibid.). For example:

Table 3.28. Existential Process with Existent as an Entity

Dummy Subject	Process: existential	Existent: entity
There	was	a small sea (1243)
There	was	yellow weed (1241)

Table 3.29. Existential Process with Existent as an Action or Event

Dummy Subject	Process: existential	Existent: action or event
There	was	no one to help him (1272)
There	was	nothing to read (1269)

There is one type of existential process construing meteorological processes such as “there was a storm/ hurricane/ wind / breeze ...” (Halliday, 1994, p.143), as in the examples below:

Table 3.30. Existential Meteorological Processes

Dummy Subject	Process: existential	Existent: meteorological process
There	was	a norther (1266)
There	was	more wind in the sky (1267)
There	is	a hurricane (1274)

3. Analysis of the Source Text

There are a total of 1,277 clauses of fifty-two sub-categories of the material, mental, behavioural, relational and existential processes recorded in *The Old Man and the Sea* corpus compiled. Table 3.31 below provides a frequency list of each sub-category of the five process types investigated³⁹.

³⁹ A more detailed catalogue of frequency lists outlining the number of occurrences and percentage of each lexical item of the five process types recorded is attached in Appendix A.2. on the CD-ROM with the thesis for reference.

Table 3.31. A Frequency List of Each Sub-Category of the Material, Mental, Behavioural, Relational and Existential Processes of *The Old Man and the Sea* Corpus

1. Material processes			
category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1,277)
1. A.1.	<u>transitive / effective clause</u> Actor + Process + Goal Processes generally performed on the line, harpoon, coils, oar, etc.	198	15.51%
1. A.2.	<u>transitive / effective clause</u> Actor + Process + Goal Processes generally performed on the fish, shark, dolphin, etc.	61	4.78%
1. A.3.	<u>transitive / effective clause</u> Actor + Process + Goal Processes generally performed by the old man's body parts – his hands, mouth, back, etc.	117	9.16%
Total frequency of categories 1.A.1. to 1.A.3. material effective clauses		376	29.4%
1.B.1.	<u>transitive / effective clause</u> Actor + Process(es) (two lexical verbs / perfective with or without to) + Goal Processes generally performed on the line, tiller, rope, blade, etc.	21	1.64%
1.B.2.	<u>transitive / effective clause</u> Actor + Process(es) (two lexical verbs / perfective with or without to) + Goal Processes generally performed on the fish.	6	0.47%
1.B.3.	<u>transitive / effective clause</u> Actor + Process(es) (two lexical verbs / perfective with or without to) + Goal Processes generally performed by the old man's body parts – his hands, fingers, head, foot, etc.	26	2.04%
Total frequency of categories 1.B.1. to 1.B.3. material effective clauses		53	4.15%

1.C.1.	<u>transitive / effective clause</u> Actor + Process(es) (one or two lexical verbs / imperfective) + Goal Processes generally performed on the line, knife, cord, harpoon, etc.	22	1.72%
1.C.2.	<u>transitive / effective clause</u> Actor + Process (one lexical verb / imperfective) + Goal Processes generally performed on the fish, tuna, shark, etc.	8	0.63%
1.C.3.	<u>transitive / effective clause</u> Actor + Process(es) (one or two lexical verbs / imperfective) + Goal Processes generally performed by the old man's body parts – his hands, body, etc.	19	1.49%
Total frequency of categories 1.C.1. to 1.C.3. material effective clauses		49	3.84%
1.D.	<u>intransitive / middle clause</u> Actor + Process	115	9.01%
1.E.	<u>intransitive / middle clause</u> Actor + Process(es) (two lexical verbs / perfective with to)	9	0.70%
1.F.	<u>intransitive / middle clause</u> Actor + Process (one or two lexical verbs / imperfective)	18	1.41%
1.G.	Actor + Process + Range	67	5.25%
1.H.	Actor + Process(es) (two lexical verbs / perfective with or without to) + Range	11	0.86%
1.I.	Actor + Process (imperfective) + Range	13	1.02%
Grand total frequency of material clauses		711	55.68%
2. Mental processes			
category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1277)
2.A.1.	<u>Mental process of perception (see)</u> Sensor + Process + Phenomenon: a thing (nominal group)	44	3.44%
2.A.2.	<u>Mental process of perception (see)</u> bounded perfective without to clause		

	Senser + Process + Macrophenomenon : an act	9	0.70%
2.A.3.	<u>Mental process of perception (see)</u> unbounded imperfective without to clause Senser + Process + Macrophenomenon : an act	17	1.33%
2.A.4.	<u>Mental process of perception (see)</u> Senser + Process + Metaphenomenon : a fact	4	0.31%
2.A.5.	<u>Mental process of perception (see)</u> Senser + Process	5	0.39%
Total frequency of categories 2.A.1. to 2.A.5. mental clauses of perception (see)		79	6.19%
2.B.1.	<u>Mental process of perception (feel)</u> Senser + Process + Phenomenon : a thing (a nominal group)	21	1.64%
2.B.2.	<u>Mental process of perception (feel)</u> bounded perfective without to clause Senser + Process + Macrophenomenon : an act	3	0.23%
2.B.3.	<u>Mental process of perception (feel)</u> unbounded imperfective clause Senser + Process + Macrophenomenon: an act	10	0.78 %
2.B.4.	<u>Mental process of perception (feel)</u> Senser + Process + Metaphenomenon: a fact	2	0.16%
2.B.5.	<u>Mental process of perception (feel)</u> Agnate relational attributive processes Senser + Process + Attribute of Quality	12	0.94%
Total frequency of categories 2.B.1. to 2.B.5. mental clauses of perception (feel)		48	3.76%
2.C.1.	<u>Mental process of perception (hear)</u> Senser + Process + Phenomenon: a thing (a nominal group)	3	0.23%
2.C.2.	<u>Mental process of perception (hear)</u> bounded perfective without to clause Senser + Process + Macrophenomenon: an act	4	0.31%
2.C.3.	<u>Mental process of perception (hear)</u> unbounded imperfective clause Senser + Process + Macrophenomenon: an act	2	0.16%
Total frequency of categories 2.C.1 to 2.C.3. mental clauses of perception (hear)		9	0.70%
2.D.1.	<u>Mental process of perception (notice, note)</u> Senser + Process + Phenomenon: a thing (a nominal		

	group)	4	0.31%
2.D.2.	<u>Mental process of perception (note)</u> Sensor + Process + Metaphenomenon : a fact	1	0.08 %
Total frequency of categories 2.D.1. to 2.D.2. mental clauses of perception (notice, note)		5	0.39%
2.E.	<u>Mental process of cognition (know)</u> Sensor + Process + Metaphenomenon: projected idea (proposition)	41	3.21%
Total frequency of category 2.E. mental clauses of cognition (know)		41	3.21%
2.F.	<u>Mental process of cognition (think)</u> Sensor + Process + Metaphenomenon: projected idea (proposition)	31	2.43%
Total frequency of category 2.F. mental clauses of cognition (think)		31	2.43%
2.G.	<u>Mental process of cognition (believe)</u> Sensor + Process + Metaphenomenon: projected idea (proposition)	6	0.47%
Total frequency of category 2.G. mental clauses of cognition (believe)		6	0.47%
2.H.	<u>Mental process of cognition (remember)</u> Sensor + Process + Metaphenomenon: projected idea (proposition)	6	0.47%
Total frequency of category 2.H. mental clauses of cognition (remember)		6	0.47%
2.I.	<u>Mental process of cognition (dream, judge, consider, identify, realize)</u> Sensor + Process + Metaphenomenon: projected idea (proposition) cognition (dream) cognition (judge) cognition (consider) cognition (identify) cognition (realize)	3 2 1 1 1	0.23% 0.16% 0.08% 0.08% 0.08%
Total frequency of category 2.I. mental clauses of cognition (dream, judge, consider, identify, realize)		8	0.63%
2.J.	<u>Mental process of desideration (like to, love, want to, hope, decide, wish, expect)</u>		

	Senser + Process + Metaphenomenon: projected idea (proposal)		
	desideration (like to)	6	0.47%
	desideration (love to)	3	0.23%
	desideration (want to)	3	0.23%
	desideration (hope)	3	0.23%
	desideration (decide)	1	0.08%
	desideration (wish)	1	0.08%
	desideration (expect)	1	0.08%
Total frequency of category 2.J. mental clauses of desideration (like to, love, want to, hope, decide, wish, expect)		18	1.41%
2.K.	<u>Mental process of emotion (love, hate)</u> Senser + Process + Phenomenon: a thing (a nominal group)		
	emotion (love)	4	0.31
	emotion (hate)	1	0.08
Total frequency of category 2.K. mental clauses of emotion (love, hate)		5	0.39%
2.L.	<u>Mental process of emotion (enjoy)</u> unbounded imperfective clause Senser + Process + Macrophenomenon: an act		
		1	0.08%
Total frequency of category 2.L. mental clauses of emotion (enjoy)		1	0.08%
Grand total frequency of mental clauses		257	20.12%
3. Behavioural processes			
category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1277)
3.A.1.	<u>Behavioural process (watch)</u> Behaver + Process + Phenomenon	27	2.11%
3.A.2.	<u>Behavioural process (watch)</u> Behaver + Process	1	0.08%
Total frequency of categories 3.A.1. to 3.A.2. behavioural processes (watch)		28	2.19%
3.B.1.	<u>Behavioural process (look)</u> Behaver + Process + Phenomenon	26	2.04%
3.B.2.	<u>Behavioural process (look)</u> Behaver + Process	2	0.16%

Total frequency of categories 3.B.1. to 3.B.2. behavioural processes (look)		28	2.19%
Grand total frequency of behavioural clauses		56	4.39%
4. Relational processes			
category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1277)
4.A.1.	Intensive attributive clause <u>Quality Attribute</u> Carrier + Process: intensive + Attribute (Attribute: nominal group with Epithet as Head)	133	10.42%
4.A.2.	Intensive attributive clause <u>Entity Attribute</u> Carrier + Process: intensive + Attribute (Attribute: nominal group with Thing as Head)	14	1.10%
Total frequency of categories 4.A.1. to 4.A.2. intensive attributive clauses		147	11.51%
4.B.1.	<u>Circumstantial attributive clause</u> Circumstance: location as attribute (circumstantial prepositional phrase) Carrier + Process: intensive + Attribute (Circumstance: locution)	7	0.55%
4.B.2.	<u>Circumstantial attributive clause</u> <u>Circumstance: accompaniment as attribute</u> (circumstantial prepositional phrase) Carrier + Process: intensive + Attribute (Circumstance: accompaniment)	2	0.16%
4.B.3.	Circumstantial attributive clause <u>Circumstance: manner as attribute (circumstantial prepositional phrase)</u> Carrier + Process: intensive + Attribute (Circumstance: manner)	1	0.08%
Total frequency of categories 4.B.1. to 4.B.3. circumstantial attributive processes		10	0.78%
4.C.	<u>Possessive attributive clause (possession as process)</u> Carrier: possessor + Process: possession + Attribute: possessed (The possessor is the Carrier and the possessed is the Attribute)	31	2.43%
4.D.	<u>Intensive identifying clause</u>		

	Identified / Token + Process: intensive + Identifier / Value	10	0.78%
4.E.	<u>Circumstantial identifying clause (Circumstance as participant)</u> Identified / Token / Circumstance: time + Process: intensive + Identifier / Value / Circumstance: time	8	0.63%
Grand total frequency of relational clauses		206	16.13%
5. Existential processes			
category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1277)
5.A.1.	Existential clause <u>Entity as existent</u> There + Process: existential + Existent: entity (person, object, abstraction)	28	2.19%
5.A.2.	Existential clause <u>Event as existent</u> There + Process: existential + Existent: event (action or event)	19	1.49%
Grand total frequency of existential clauses		47	3.68%
Grand total frequency of the material, mental, behavioural, relational and existential processes		1,277	100%

As revealed in table 3.31 above, the dominant process type is the material processes, which individually accounts for more than half of the total number of clauses recorded, with a total of 711 occurrences, accounting for 55.68% of the total. Second to this is the mental process type, a total of 257 occurrences, accounting for 20.12% of the total. The relational process type is also significant, altogether 206 occurrences, accounting for 16.13% of the total. The behavioural and the existential process types are only minor ones, each respectively has fifty-six and forty-seven occurrences – contributing to 4.39% and 3.68% of the total. Moreover, it is found that the sub-category of data that occurs most frequently is category 1.A.1. – transitive / effective material clauses with the processes generally performed by the old man on his fishing gear such as the line, harpoon, coils, oar. Next to this is category 4.A.1. –

the intensive attributive clauses with Quality Attributes formed by nominal groups with Epithets as Heads. Category 1.A.3. – transitive / effective material clauses with the processes generally performed by the old man's own body parts is also prominent, which constitutes the third most frequently occurring sub-category of data.

In order to sort out the more significant data for closer examination, the following table outlines the first five most frequently occurring sub-categories of data out of the fifty-two sub-categories of the five process types identified, under which the first four to five specific lexical items that display the highest frequencies are listed for further discussion.⁴⁰

Table 3.32. The First Five Most Frequently Occurring Sub-Categories of Data of the Five Process Types

rank	category no.	sub-category of process type / breakdowns of the clause	frequency	percentage (out of 1277)
1	1. A.1. (material)	<u>transitive / effective clause</u> Actor + Process + Goal Processes generally performed on the line, harpoon, coils, oar, etc.	198	15.51%
		hold/held	20	1.57%
		put	16	1.25%
		take/took/taken	15	1.17%
		cut	11	0.86%
		made fast	11	0.86%

⁴⁰ The data in Table 3.32. are extracted from the detailed catalogue of frequency lists attached in Appendix A.2. for closer study.

2	4.A.1. (relational)	Intensive attributive clause <u>Quality attribute</u> Carrier + Process: intensive + Attribute (Attribute: a nominal group with Epithet as Head)	133	10.42%
		good	10	0.78%
		sorry	8	0.63%
		clear	6	0.47%
		tired	5	0.39%
3	1. A.3. (material)	<u>transitive / effective clause</u> Actor + Process + Goal Processes generally performed by the old man's body parts – his hands, mouth, back, etc.	117	9.16%
		do / did / done	12	0.94%
		eat / ate	10	0.78%
		kill / killed	7	0.55%
		work / worked	7	0.55%
4	1.D. (material)	<u>intransitive / middle clause</u> Actor + Process	115	9.01%
		sailed	7	0.55%
		rowed	6	0.47%
		come on / come in	6	0.47%
		sleep / slept	5	0.39%
		go / went	5	0.39%
5	2.A.1. (mental)	<u>Mental process of perception (see)</u> Senser + Process + Phenomenon: a thing (nominal group)	44	3.44%
	2.A.2. (mental)	<u>Mental process of perception (see)</u> bounded perfective without to clause Senser + Process + Macrophenomenon : an act	9	0.70%
	2.A.3. (mental)	<u>Mental process of perception (see)</u> unbounded imperfective without to clause Senser + Process + Macrophenomenon : an act	17	1.33%

	2.A.4. (mental)	<u>Mental process of perception (see)</u> Senser + Process + Metaphenomenon : a fact	4	0.31%
	2.A.5. (mental)	<u>Mental process of perception (see)</u> Senser + Process	5	0.39%
		Total frequency of categories 2.A.1. to 2.A.5. mental clauses of perception (see)	79	6.19%

As revealed in the above table, the material transitive / effective clauses – categories 1.A.1. and 1.A.3. – constitute the two most dominant subcategories of the five process types investigated. The verbs most frequently used are those expressing the way the old man operates the line, harpoon, coils and so on to hook the fish such as “held,” “put,” “took,” “cut.” They are recurrently used throughout the three-day battle to describe the old man’s repeated attempts to harpoon the fish. There are some other verbs of category 1.A.3. used to express the actions performed by the old man’s body parts such as the way he eats (“eat / ate” by his mouth) and works his way back to the bow (“work / worked” by his body). The material middle clauses expressing the old man’s self-propelled movements such as “sailed,” “rowed,” “lay” and his physiological reactions such as “cramped,” “slept,” “drank,” “coagulated” are also prominent. Probably the old man is alone most of the time in the sea with actions performed by himself but directed to no goals. The intensive attributive clauses with the quality Attributes, manifesting the old man’s inner sensations like he is “good,” he is “sorry,” his head is “clear,” and he is “tired” are also significant. Another noticeable finding is that the mental perceptive processes of seeing, realised by the verb “see,” indeed, constitute the most frequently occurring process or lexical item of all the processes of the five process types recorded, with a total of seventy-nine occurrences, accounting for 6.19% of the total. The descriptions about the objective setting the old man perceives (realised by the nominal groups as “things”), the

movements of the fish, and the line the old man sees (realised by the imperfective non-finite clauses as “acts”) are also significant sub-categories of process type identified. Finally, referring back to the detailed catalogue of frequency lists attached in Appendix A.2., there are a total of 584 different lexical items or processes recorded out of the 1,277 clauses, 434 of which occur only once such as “reversed,” “twisted,” “kicked,” contributing to 33.98% of the total number of clauses (out of 1,277) identified; while the remaining 150 lexical items or processes occur more than once with the frequencies ranging from two (e.g. “slipped,” “withdrew,” “rubbed”) to the maximum of seventy-nine constituted by the mental process “see” as mentioned above. It appears that overall a varied set of vocabulary or lexical items is used to describe the recurrent events and actions of the old man’s battle with the fish. What follows is an overall description of the findings of the five process types studied and a brief literary analysis accompanied with each.

3.1. Material Processes

The material processes of doing are the dominant process type revealed in the corpus of *The Old Man and the Sea*. The foregrounding of the Actor + Process + Goal structure exhibits a recurrent pattern of transitivity, in which the old man consistently serves as an actor who is in complete control of the things he does. The processes performed by him on his fishing gear and the fish are one of the action and the intention types, which are voluntary actions expressed invariably in the active voice. The prominence of the material processes over other process types creates a “highly ‘actional’ descriptive framework,” and the inflexible transitivity pattern gives the text a “flat” feel, as Simpson remarks (1993, pp. 97-98) in his study of an extract from *The Old Man and the Sea*. In addition, most of the processes depicted are concrete processes, manifesting the tangible actions taken by the old man to deal with the fish. They are mostly “dispositive” type of material processes, with the goals

existing prior to the doings, but are transformed in some way by them, such as “slit,” “soaked,” “placed.” Thus, they are often accompanied by the circumstances of location indicating the results of the impact, like “slit him quickly from the vent up to the tip of his lower jaw” (236), “the old man soaked his hands in the salt water” (327).

A closer study of the material processes finds that they are especially rich in circumstances, with the processes often accompanied by the circumstances of location or manner to provide specific details about “where” or “how” the events take place; for example:

material processes accompanied by the circumstances of location:

so that he could put his left hand into the sea on the other side of the skiff (27)

Now he got his head up from the wood and out of the slice of fish that his cheek had crushed (83)

before he swung him over the side and into the boat (106)

material processes accompanied by the circumstances of manner (means or quality)

The old man held the line delicately, and softly, with his left hand (5)

and drew his knife from its sheath with his right hand (117)

re-baited the line with another sardine and tossed it over (158)

In the above clauses, the material processes are deictic verbs such as “put,” “got,” “swung,” “drew,” which are often used in combination with the locative phrases formed by prepositions such as “into,” “from,” “out of,” “on,” “over” to suggest motion towards (e.g. “over the side,” “into the sea”) or away from (e.g. “from the wood,” “out of the slice of fish”) the deictic centre of the old man. The circumstances of manner of the sub-categories of means and quality are also prominent. They are often realised by prepositional phrases such as “with his right hand,” “with another sardine” or adverbial phrases such as “delicately” and “softly,” indicating the means by which the

old man used to accomplish the processes, and the manner of the processes. Overall, circumstantial elements are extensively used to complement the processes.

In addition, the majority of the material clauses are realised by finite verbs in the past tense in the third-person external narrative mode (e.g. “drove,” “pushed,” “dropped”) or in the present tense in the first-person speech or thought mode (e.g. “take,” “get”). Nevertheless, there are a minority of clauses realised by the perfective (with or without to) non-finite clauses or the imperfective finite or non-finite clauses. The perfective clauses are found in the sub-categories 1.B.1., 1.B.2. and 1.B.3. of the effective clauses, 1.E. of the middle clauses and 1.H. of the range clauses; whereas the imperfective clauses are found in their counterpart sub-categories 1.C.1., 1.C.2., 1.C.3.; 1.F. and 1.I. There are a total of seventy-three perfective and seventy imperfective clauses, respectively accounting for 5.71% and 5.48% of the sum total of material clauses. On the whole, the perfective and the imperfective non-finite clauses constitute only a minor portion of the material clauses uncovered.

With regard to the perfective with to (e.g. “put... to wake”) or without to (e.g. “let...slip”) non-finite clauses, they are usually material processes expressing goals to be attained, potential or proposals in hypotactic clause complex such as “put...to hold” (406), “found...to steer” (395) and “ate...to be strong” (405). There are some other perfective clauses realised by two lexical verbs in hypotactic verbal group complex such as “encouraged to talk” (410), “remembered to give” (411), “cut away to lash” (393), “rowed to keep” (386), expressing similarly goals to be attained, intentions or proposals. Nevertheless, the prominent types of perfective process are those realising an inceptive time-phase relation in hypotactic verbal group complex such as “began to pull” (391), “commenced to pull” (392), “started to work” (389), and those realising a conative relation such as “tried to gentle” (409), “tried to keep” (419) and

“tried to buy” (429). In these verbal group complex, the material processes are expressed by the second lexical verbs like “began to pull,” “tried to keep” while the first lexical verbs provide further information about the unfolding of the processes. They express general processes of “becoming,” highlighting the old man’s deliberate efforts to accomplish the goal of catching the fish.

As for the imperfective clauses, some are realised by a finite verb such as “On each calm placid turn the fish made he was gaining line” (436) while some others by a non-finite verb such as “and the old man was sure that by gaining some more line he could have him alongside” (437). For the latter type, the subject is often kept implicit and has to be inferred from the preceding primary clause, like “the old man” in the example just mentioned. Generally the imperfective clauses are more focused in time, expressing the actions in progress, the actual, and the real that have clear beginnings and endings. Nevertheless, it is worthy of attention that the imperfective clauses realised by the unmarked present-in-past tense account for only a small portion (5.48%) of the total of material clauses. In fact, the majority of the material processes are expressed in the marked past tense such as “drew,” “drove,” “lifted,” “pulled,” “shipped” in the third-person narrative mode. According to Hofmann’s (1993) classification of verbs, this type of verbs can be viewed as “accomplishment verbs,” which depict events as occurring over a period and include the end point denoting their completion (p.149). Moreover, there is another kind of verbs such as “chopped,” “braked,” “killed,” “slapped”, “slipped” which are also widely used. They belong to the extreme kind of punctive verbs depicting something that happens at a particular moment in time and thus have no duration (p.150). The extensive use of accomplishment and achievement verbs highlight that the old man is in firm control of the things he does and lives in the “here and now” in battling with the fish.

Finally, there are ninety-one material clauses falling into the Actor + Process + Range sub-categories (1.G., 1.H. and 1.I.), accounting for 7.13% of the total number of material clauses, and thus constituting another minor portion of the material clauses revealed. Unlike the Goal, the Range is not impacted on by the performance of the Process, and thus it often goes with a less vigorous process in relation to that with a Goal; for example, “he rested against the bow” (637), “and settled himself against the rounded planks of the bow” (642), “He took a very small drink of water” (658), and “get some rest and a little sleep” (660). All these processes (“rested,” “settled,” “took,” and “get”) accompanied by the Ranges are relatively lighter actions compared to those associated with the Goals like “cut,” “picked up,” “pushed,” “tied,” since they are not really actions done to or done with the Goals. Moreover, the Ranges of the material clauses appear to be realised in various forms. Some of them appear as abstract entities such as “he would put no more strain on it” (672), “since he had broken the confidence of the Negro” (673), “and devise some simple and some way about the lines” (685). Some are construed as metaphorical expressions such as “because his hands rebelled at the pain” (679), “and he could bring the pain of life by simply opening and closing them” (681), “and he shrugged the muscles of his back to shift the hurt of the cord a little” (692). In these examples, the abstract ideas are represented as concrete entities in the form of metaphors. In addition, some other Ranges appear as grammatical metaphors formed by the marked nominalization of verbs like “He went back to rowing and to watching the long-winged black bird” (689), and he tried to keep the cutting across the calloused parts (696), and tried to do the pulling as much as he could (697), creating special rhythmical and musical effects. Finally, the Range type of material clauses is also full of circumstances. Most of the processes are middle clauses, with the Processes accompanied by the circumstances of location, often realised by prepositional phrases such as “and reached under the stern for the club” (629), “and he sank down into the bow” (678) “He leaned over the side” (626). Overall,

the material clauses of all sub-categories often occur with circumstantial elements, particularly those of spatial location, creating distinctively “the sense of place” and “the sense of scene” in the depiction of an objective setting, as commented by Baker (1972) on the style of Hemingway (p.54).

3.2. Mental Processes

The mental processes of seeing, feeling and thinking are the second major process type revealed in the *Old Man and the Sea* corpus studied. The first few most frequently occurring lexical items, indeed, all belong to the mental processes of perception and cognition, though overall it is the material processes that constitute the dominant process type found in the corpus. There are a total of seventy-nine instances (6.19%) of perceptive processes of seeing, and forty-eight (3.76%) of feeling, coupled with forty-one instances (3.21%) of cognitive processes of knowing, and thirty-one (2.43%) of thinking, showing that the mental processes of seeing, feeling, knowing and thinking are the prominent process type systematically interwoven with the material processes to picture how the old man alternates orderly between doings and thinkings. In addition, almost all mental processes belong to the “like” type, with the emotion emanating from the Phenomenon such as “he felt himself going when he turned the fish” (823). A few other mental clauses contain only the Senser with an implicit Phenomenon such as “The old man felt faint and sick and he could not see well” (787).

There are three kinds of Phenomenon associated with the mental processes of perception, including a Thing realised by a nominal group, an Act (Macrophenomenon) realised by a perfective or an imperfective non-finite clause, and a Fact (Metaphenomenon) introduced by an embedded “that” clause. The things that the old man sees and feels are usually those minute details about the fish, the

shark, the dolphin, the lines, the birds, and so on, which are all concrete images or objects rather than abstract entities. As for the acts and facts that the old man sees and feels, they are usually those about the movements of the fish, the tuna, the bird, the ducks, the line, the stern, and so on. Some of them are expressed in the bounded perfective without to non-finite clauses such as “the old man saw flying fish spurt out of the water” (757), signaling the completion of the events; while the majority of the Act clauses are realised by the unbounded imperfective non-finite clauses such as “until he saw the drops jumping from it in the sun” (772), marking the actions in progress and creating a strong sense of immediacy.

In addition, there are twelve instances of perceptive processes of feeling belonging to the agnate relational attributive processes. The perceptive verb “feel” can also be interpreted as the attributive intensive synonym of the verb “be” commonly used in relational processes. The Epithets such as “felt faint and dizzy” (807), “felt very tired now” (828), “he was feeling so badly” (834), “I feel better with the sun” (836) express the old man’s inner sensations, particularly his sickness and weariness in fighting a tiring battle with the marlin. Also, there are a small number of perceptive clauses formed by the mental verbs “hear,” “notice” – respectively nine and five instances, describing the sounds and other surrounding events the old man hears and notices in the sea.

Other than the perceptive clauses, there is another significant portion of cognitive clauses formed by the verbs “know” and “think,” respectively forty-one and thirty-one instances, accounting for 3.21% and 2.43% of the total. They belong to the metaphenomenal idea clauses projected through the cognitive processes of knowing and thinking. Unlike the embedded metaphenomenal fact clauses functioning as participants, they are not treated as part of the mental clauses, but separated from them as independent projected clauses, projecting ideas as

propositions. The propositions the old man projects are usually those about his judgements of the position of the fish, its distance from him and its size; his own reflections on his physical and spiritual states and the status of the battle with the fish, his suggestions of the proper way to deal with the fish as well as his observations of the setting including the weather, the breeze, the sky, the night. Furthermore, the cognitive processes of knowing and thinking are prevalent near the end of the third day's battle when the old man knows that the marlin is about to be eaten by the sharks. Particularly there are some moments in which the old man indulges himself in his own self-reflective speeches and thoughts, lamenting helplessly the loss of the fish.

In addition, there are a total of twelve instances of a minor portion of cognitive processes realised by other mental verbs including "believed," "remember," "dream," "judge," "consider," "identify," and "realize," providing additional information about the old man's consciousness of the fish, his memory of his past glory, his dreams of the lions and his evaluation of the situation. There are eighteen instances of the mental processes of desideration realised by the verbs "like to," "love to," "want to," "hope," "decide," "wish," "expect," projecting ideas as proposals. They express the old man's wishes to be in company with the fish (949), to fly slowly above the sea to see the fish (950), his love to see the turtles (951-953), and so forth. Last, there are a few other emotive clauses realised by "love," "hate" and "enjoy" expressing the old man's likes and dislikes. Yet overall, they are just minor sub-categories of mental process. The majority of the mental processes represent what the old man sees, feels, hears, thinks and knows, mirroring to a great extent the voice of Hemingway to make his readers hear, feel and see in his artistic creation.

3.3. Relational Processes

The relational processes are the third major process type revealed in the *Old Man and the Sea* corpus. The sub-category of the intensive attributive clauses with Quality Attributes is the second major sub-category of process type found, with 133 instances, accounting for 10.42% of the total; only next to the category of material effective clauses.

The Quality Attribute of the intensive attributive clause is realised by a nominal group with Epithet as Head, expressing both a subjective sensation and an outer experience of the old man. The subjective sensations expressed include “good,” “cold,” “cramped,” “comfortable,” “alone,” “religious,” “ready,” “silly,” “stiff,” “hurt,” revealing both good and bad moods of the old man in fighting with the fish. In addition, there are a few Attributes denoting a quality of sensing equivalent to the Processes of mental clauses; for example, “He was sorry for the birds” (1035), “the old man was afraid he would cut the line” (1058), “he was happy to see so much plankton” (1069), “he was very fond of flying fish” (1097), “he was pleased” (1098). All these clauses fall into the “like type” of mental clauses, with the emotion emanating from the Phenomenon. There are also a few other Attributes denoting a quality of sensing belonging to the please type of mental clauses, with the Phenomenon causing the emotion like “It was not unpleasant” (1121), “It is humiliating before others” (1123), “It is unworthy of it to be cramped” (1125).

A closer scrutiny of the intensive attributive clauses finds that many of them are expressed by the old man himself in the first person in the form of speech and thought presentation, representing the old man as the reflector of the story. Another significant finding about the intensive attributive clauses is that, other than those construing the inner sensations as Attributes, indeed, there are a lot more intensive

attributive clauses construing the outer experience – the objective properties of metathings as Attributes; for example, “The position actually was only somewhat less intolerable” (1102), “His book was bent with the weight of the line across it” (1106), “It was sharp and hard-feeling and heavy” (1138-1140). In this type of intensive attributive clauses, it is the metathing that serves as Carrier, with the Attribute describing the objective properties of the object or event referred to. These clauses usually describe the old man’s observations of the external events. Finally, there is a small portion of intensive attributive clauses associated with entities as Attributes, which are realised by nominal groups with Things as Heads, such as “It was only a line burn that had cut his flesh” (1167), “It is not the hand’s fault” (1168), “It was an easy shot now” (1171). The Entity Attributes construe also the properties of objective facts.

Next to the intensive attributive clauses is the sub-category of possessive attributive clauses. There are thirty-one instances of them, accounting for 2.43% of the total. These clauses depict both the concrete and abstract entities owned by the old man. The concrete objects possessed are such as “have a big blue runner and a yellow jack” (1184), “had six reserve coils of line” (1190), “had two drinks of water” (1192), “have a big reserve of line” (1200) “have the two oars and the tiller and the short club” (1207), which are mostly the fishing gear or other tools used by the old man to hook the fish. As for the abstract entities, they are mostly spiritual substances represented metaphorically as the possessions owned by the old man as in “The birds have a harder life than we do” (1184), “he was full of resolution but he had little hope” (1193), “Only I had no luck any more” (1195). In addition, there is a minor portion of intensive identifying clauses, identifying the old man with other elements in the sea. Though there are only ten intensive identifying processes, three of which represent the old man’s identity in a distinctive way – “and once he had the old man, who was not an old man then but was Santiago El Campeon” (1214), “My choice was to go there to find

him beyond all people" (1215), "But that was the thing that I was born for" (1217). The old man's name and identity – "Santiago El Campeon" – is first introduced to recall his past success in defeating the negro in a hand-wrestling game and his born duty to catch the fish. The other clauses express the old man's company with the wind, the bed, the towing bitt and the flying fish as brothers.

There are also eight other circumstantial identifying clauses, identifying the circumstantial elements of time with other time elements; for example, "Everyday is a new day" (1223), "Now is the time to think of only one thing" (1224), "Now is no time to think of baseball" (1226), "But today is eighty-five days" (1227), "Each time was a new time" (1228), "This is the second day now" (1229), "Now that it is daylight" (1230). In fact, the repeated emphasis on the implied "now" is prominent, which is realised by the prevalent use of the temporal deixis "now" throughout the three-day battle. The old man is depicted as a realistic hero who lives in the "here and now" to confront challenges.

Finally, there are ten circumstantial attributive processes, with the circumstances of location, accompaniment and manner realised by prepositional phrases expressed as the Attributes. The circumstances of location such as "The sun was on the old man's left arm and shoulder and on his back" (1174), "In the turtle boats I was in the cross-trees of the mast-head and even at that height I saw much" (1177-1178) provide specific details about the exact location of objects from the viewing position of the old man.

3.4. Behavioural Processes

Other than the major material, mental and relational processes, there are the minor subsidiary behavioural and existential processes uncovered in the corpus,

respectively fifty-six and forty-seven instances, accounting for 4.39% and 3.68% of the total. The behavioural processes are mainly formed by the verbs “watched” and “looked.” They are alternately used with the synonymous verb “saw” of the mental processes to portray the perception of the old man. They generally depict the motion of the sharks, the bird, the line and the water. They are mostly accompanied by the perfective without to such as “he watched the sun go into the ocean” (991), “he watched the sharks come” (981); while a few others by the imperfective such as “he watched the school working the water white” (976), “He did not even watch the big shark sinking slowly in the water” (979). Unlike the mental processes of seeing which are non-behavioural, the behavioural processes are quasi-doings. They depict vividly the dynamic motion of the creatures in the sea.

As for the behavioural processes of looking, they are mostly delicate descriptions of the objective setting including the sea, the coils of line, the stars, the bird, the fish, the sun, the road. In addition, they are mostly middle clauses accompanied by the circumstances of matter as in “He looked back at the coils of line” (1003), “he looked at the arm and hand of the Negro (1011); or by the circumstances of manner as in “looked at it in disgust” (1015), “The old man looked carefully in the glimpse of vision that he had” (1018).

3.5. Existential processes

Finally, there is a minor portion of existential processes construing something that exists or happens in the form of “there was something.” There are two kinds of existent associated with the existential processes – Existent as an entity versus Existent as an action or event. The entities represented as Existents are, similarly, mostly those concrete objects of the objective setting including the boats, the sea, the clouds, the flying fish and the light. Moreover, there are descriptions of the shrimp,

the bait fish, yellow weed, an added drag and so on; and especially a delicate portrayal of the head, the eye and the swallowing jaws of the shark. As for the events or actions construed as Existents, they are more like abstract ideas expressing the old man's comments on the situations such as the notions that "there was nothing to be done" (1260), "There is no sense in being anything but practical though" (1273), "There was no one to help him" (1272), "There is no one worthy of eating him" (1275). Moreover, there are a few existential processes construing particularly the meteorological processes like "there are no hurricanes" (1263), "There will be bad weather" (1265), "There was more wind in the sky than there had been" (1267). Generally, the representation of the concrete entities is dominant. The manifestation of a concrete style is a consistent trait exhibited in all five process types investigated.

4. Analysis of the Target Texts

Overall, there are noticeable differences between the original and the four translations in the rendering of the five process types identified in the three-day battle in *The Old Man and the Sea*. Some of the differences are caused by the inherent linguistic differences between English and Chinese, as revealed particularly in the translation of aspect and phase which is a markedly different feature between the two languages, while some others are attributed to the motivated choices made by the translators. The former type of difference is not a major area of study in the analysis of translation shifts, yet they are worth noticing as differentiated from those caused by the motivated choices of the translators. In the following, the four translations of the five most frequently occurring material processes are first chosen as a sample to find out how the material processes are generally rendered, and how aspect and phase are treated differently as a result of the grammatical differences between English and Chinese. Subsequent to this is a comprehensive analysis of the

motivated translation shifts found in the four versions.

4.1. Translation of the Five Most Frequently Occurring Material Processes

Table 3.33. below compiles a comprehensive list of the four Chinese translations of the five most frequently occurring material processes for scrutiny. They are all found in the translation of category 1.A.1. of the transitive material clauses, which is the most dominant subcategory of process type revealed, describing the processes generally performed by the old man on his fishing gear.

Table 3.33. Translations of the Five Frequently Occurring Material Processes (“held,” “put,” “took,” “cut” and “made fast”)

Translations of “held”					
Chinese translation / frequency		Hai	Wu	Li	Zhao
1	握(緊)(著)(在)	3	3	0	0
2	攥(住)(了)(著)(在)	3	6	3	2
3	繃(緊)(住)	0	0	1	1
4	抓(著)(緊)(牢)	2	1	0	2
5	挾 / 夾(住)(在)	1	2	1	1
6	提(著)(在)	0	0	3	0
7	捏(著)	0	0	0	2
8	拿(著)(在)	2	0	0	1
9	拽 / 曳(住)(著)(在)	4	2	0	4
10	拉(著)(住)	0	2	2	0
11	背(著)	0	0	1	2
12	勒(在)	0	1	1	0
13	舉(著)(起)	1	1	1	1
14	放(到)	1	0	0	0
15	伸(進)	0	0	1	1
16	撐(住)(著)	3	0	0	0

17	穩 (住)	0	0	1	0
18	踩 (住)(在)	1	1	1	1
19	接 (過)	0	0	0	1
20	牽 (住)	0	0	1	0
21	挺 (住)	0	0	0	1
Translations of “put”					
Chinese translation / frequency		Hai	Wu	Li	Zhao
1	送 (回)	1	0	0	0
2	放 (回)(下)(進)(過)(下)(在)	4	5	4	5
3	踩 (住)	1	1	1	2
4	壓 (住)(著)(在)	1	1	1	1
5	踩 (住)(在)	2	2	1	1
6	踏 (住)	0	0	1	1
7	伸 (進)	1	1	0	0
8	浸 (進)(到)	0	0	1	1
9	灑 (到)	1	1	0	0
10	澆	0	0	1	1
11	合 (上)(起)	1	1	0	1
12	並攏	0	0	1	0
13	開 (回去)	1	0	0	0
14	駛 (去)	0	1	0	0
15	撥 (正)(回)	0	0	1	1
16	扔 (到)(下)	0	0	0	1
17	弄	0	0	1	0
18	攔 (到)	0	0	0	1
19	扛 (在)	0	1	0	0
Translations of “took”					
Chinese translation / frequency		Hai	Wu	Li	Zhao
1	扯 (住)	1	0	0	0
2	咬 (住)	0	1	0	1
3	釣	0	0	1	0
4	取 (下)(出來)	3	3	3	0
5	拿 (著)(出來)	1	1	1	2
6	摘 (下)	0	0	0	1
7	拿 (了來)(過)(起了)	2	1	0	1
8	抽 (上來)	0	0	0	1
9	攥 (住)(著)(在)	1	2	2	0
10	抓 (緊)	0	0	0	2
11	繞 (了)	1	1	1	1

12	舉 (起)	0	0	1	0
13	拉 (上來)	1	0	0	0
14	拖 (回去)	0	1	1	0
15	運 (回去)	0	0	0	1
Translations of “cut”					
	Chinese translation / frequency	Hai	Wu	Li	Zhao
1	割 (斷)(下)(下來)(到)(成)	8	9	5	1
2	切 (斷)(成)(到)(好了)(完了)	1	1	4	3
3	斬 (斷)	0	0	0	2
4	剪 (斷)	1	1	1	0
5	砍 (斷)	0	0	0	1
6	剖 (成)(下來)	0	0	0	2
7	剝 (成)	0	0	0	1
8	截 (下)	1	0	0	1
Translations of “made fast”					
	Chinese translation / frequency	Hai	Wu	Li	Zhao
1	系 (住)(緊)(在)(到)(好)(上)	8	9	4	7
2	拴 (緊)(在)(好)	1	0	2	3
3	連 (結)	0	0	1	0
4	結 (住)	0	0	1	0
5	綁 (緊)(住)(在)(牢)(好)	2	2	2	1
6	拽 (緊)	0	0	1	0

As revealed in the above table, except for the more obvious omission of the processes “held” (in clause number 2) and “put” (in number 35) in Li’s translation, the first five most frequently occurring verbs of the transitive material processes are all generally preserved in the translations by Hai, Wu and Zhao, and rendered into a even more varied set of specific verbs, as the verbs “held,” “put,” “took,” “cut” and “made fast” are translated respectively into a total of twenty-one, nineteen, fifteen, eight and six different verbs over all four translations. They are available choices in Chinese since Chinese is “richly taxonomized” in processes, with a wide range of specific verbs available for construing particular processes in “concrete contexts” (Halliday & Matthiessen, 1999, pp. 309-310). Furthermore, the progressive aspect

markers “著” and “住” are widely used with the above list of verbs; and the completive aspect marker “了”, coupled with the resultative post verbs such as “斷,” “緊,” “牢,” “成,” “好,” “完” and directional post verbs such as “回,” “去,” “到,” “起,” “上來” are frequently added to the main verbs to indicate the completive phase of the actions referred to.⁴¹ It appears that the prominent use of the progressive aspect markers “著” and “住” have shifted the original perfective aspect which assumes the closure of the actions referred to to the imperfective which indicates the unfolding of the processes in the descriptions. This is found not only in the translation of these five most frequently occurring verbs, but throughout the translation of all subcategories of material clauses across all four translations. Nevertheless, all these adjustments made to the original seem to be attributed more to the grammatical differences between English and Chinese rather than the choices deliberately made by the translators to convey particular meanings. The differences between the original and the translations in the rendering of aspect and phase is possibly attributed to the fact that the unmarked phase of a verb used in English is the completive which includes the end point of the action referred to while that in Chinese is the inceptive/ conative which assumes the ongoing of the process, as pointed out by Halliday and Matthiessen (1999, p.308). The prominent use of the imperfective aspect in rendering some of the verbs originally expressed in the perfective across all four translations seem to put extra emphasis on the unfolding of the actions described, anchoring events referred to in the “here and now.” However, they still appear to be natural expressions corresponding to the grammatical system of Chinese in presenting processes in the unmarked phase of the “imperfective,” and thus cannot be regarded as significant translation shifts. This type of changes is different from those motivated choices made by the translator in comparison to other possible

⁴¹ According to Halliday and McDonald (2004, p.383), directional and resultative postverbs are two different types of verb used accordingly to indicate two subtypes of completive phase.

choices made by the others as manifested through comparative analyses of the four versions conducted in the following sections.

4.2. Categorisation of Translation Shifts

Noticeable shifts are found in the four translations of the three-day battle in *The Old Man and the Sea* with regard to the five process types of the transitivity system. First, in terms of length, the versions of Hai, Wu, Li, and Zhao are produced respectively in 37,702, 35,824, 30,965 and 34,254 words, showing that Li's translation is the shortest while Hai's the longest. Furthermore, obvious differences are revealed in the four translations' approaches to rendering the source text. Generally, there are four translation strategies used, though they are used in different forms or to different degrees among the four versions. They are (1) omission, (2) addition, (3) modification and (4) restructuring of the sequences of details. Omission refers to the deletion of details, reproducing relatively reduced pictures of description in comparison to the original. By contrast, addition refers to the incorporation of new features into the target text that do not appear in the source text. They are mostly presuppositions or inferences made explicit on the basis of the given information in the original to explicate the specific contexts in which events take place, giving rise to relatively expanded portrayals. As for modification, the original images are transposed to new ones to create different descriptions. They can be viewed as hybrids of the old and the new elements made on the basis of the original to form new creations. Moreover, it deserves notice that the boundary between addition and modification is sometimes not discrete. In some cases, a rendering can be viewed as an addition or a modification, depending on the angle or emphasis assumed in analysis. Finally, for restructuring of the sequences of details, the same amount of information is basically preserved in the translation of the clause, yet its sequence is altered to reproduce different emphases and stylistic effects.

In addition, it is found that the lexical items altered by means of omission, addition and modification consistently fall into a few major categories, which are (1) process, (2) concrete detail and (3) circumstance. “Process” refers to the adjustment made to a verb or a process or its related information in the clause. “Concrete detail” refers to the other concrete detail(s) of description about the participant role associated with the process, which may be information about the Goal or the Range of a material process, the Phenomenon of a mental or a behavioural process, the Attribute of a relational process or the Existent of an existential process. “Circumstance” refers to the modification of the adverbial or prepositional group which provides extra information on how, when, or where a process is performed. The circumstance adjusted is usually that of spatial or temporal location, or that of manner of the quality type showing how the process is performed.

What follows is an analysis of the shifts found in the four translations of the five process types. In the analysis of each process type, the frequencies of each of the four kinds of adjustment technique used in the four translations will be first provided as support, followed by a discussion of the general approach to translating the linguistic features investigated by the individual translators. First is the analysis of the translation of the material processes.

4.3. Translation of the Material Processes

Generally, the material processes are preserved closely with only slight adjustments made in the translations by Hai and Wu, while obvious adjustments are found in the versions by Li and Zhao, and Li appears to make the most changes. In fact, except for Li’s translation, proportional to the large number of material processes used in the original (a total of 711 instances), overall the adjustments made to the material processes in the other three translations can be considered slight. They are generally

rendered in the way similar to the translation of the five frequently occurring material processes as explained in section 4.1. above. Table 3.34. below lists the frequencies of omission, addition, modification and restructuring of the sequences of details used in each of the four translations of the material processes for further discussion.⁴²

Table 3.34. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Material Processes

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	6	2	64	5
Addition	8	13	29	31
Modification	3	1	69	15
Restructuring of the sequences of details	0	3	6	14
Total frequency	17	19	168	65

As shown in the above table, Hai, Wu, Li and Zhao respectively make seventeen, nineteen, 168 and sixty-five adjustments in their translations of the material processes, showing that Hai and Wu relatively make less drastic changes compared to those by Li and Zhao. For Hai's translation, it appears that only slight adjustments are made by means of omission, addition and modification. The information omitted includes two instances of the process "rested," two of the temporal deixis "now," one circumstance of spatial location, and one concrete detail in the description of the old man's face. As for additions, there are four concrete details added in the descriptions of the line, the oars and the fish; two circumstances of manner added in describing

⁴² A more detailed account of all the translation shifts identified in the four versions of the material, mental, behavioural, relational and existential processes, with back translations provided as support, is attached on the CD-ROM (in section A.3.) with the thesis for further reference.

the way the old man pulls the dolphin and the fish. Moreover, the material process “舉到不能再高的高度” (125) is particularly added to highlight the effort made by the old man to lift the harpoon to the highest possible extent. The addition of a psychological description to express the old man’s fatigue in the fight is also prominent. Regarding modifications, there are two concrete details altered in the descriptions of the line; and one material process – “抖擻抖擻當年的威風” (29) – is specially created to highlight the old man’s radiance in restoring his past glory. Finally, it is noteworthy that no restructuring of the sequences of details is found in Hai’s translation, showing that he is very close to the original in this respect.

As for Wu’s translation, similarly, only slight adjustments are made by means of the four kinds of adjustment technique mentioned. There are two omissions, one of which is a concrete detail and another one is a process in the descriptions of the old man’s hand and his sitting on the unstepped mast. Furthermore, there are thirteen additions made, seven of which are the concrete details added mostly in the portrayals of the line, the oars, the bait; four are the circumstances of manner added mostly in the descriptions of the way the old man operates his line tactfully; and two others are the additions of the circumstances of spatial location. There is one modification conspicuously made, which concerns the way the old man restores the balance with the negro in playing the hand-wrestling game with him – “恢復勢均力敵的局面” (137). Finally, there are three restructurings of the sequences of details, which describe the movements of the old man and the way he deals with the fish.

Regarding Li’s translation, he makes drastic changes and significant differences are exhibited between Li’s and the other three translations in the numbers of omission and modification used. There are altogether sixty-four omissions, twenty-nine additions, sixty-nine modifications and six restructurings of the sequences of details

found. Table 3.35. below provides a frequency list of the categories of lexical items adjusted in Li's translation of the material processes under the categories of omission, addition and modification.

Table 3.35. Categories of Lexical Items Adjusted in Li's Translation of the Material Processes

categories of lexical items adjusted/ frequency	Omission	Addition	Modification	Total frequency
1. the whole clause	2	0	0	2
2. process	9	14	54	77
3. psychological description	0	0	2	2
4. concrete detail	19	6	12	37
5. circumstance of manner	13	6	1	20
6. circumstance of spatial location	16	2	0	18
7. circumstance of cause	2	0	0	2
8. circumstance of temporal location	3	1	0	4

In Li's version, there are two clauses containing the processes "held" and "put" which are entirely omitted, and most of the adjustments fall into the lexical item "process," with a total of seventy-seven instances by means of omission (nine instances), addition (fourteen instances) and modification (fifty-four instances). It is worthy of attention that a lot more processes are added and modified than omitted. As for the processes omitted, they include the repetitions "fight" and "raising it to breaking point again and again"; the inceptive processes "commenced" and "started" showing the time-phase of the processes; the secondary verbal groups in the hypotactic verbal group complex "to wake me" and "to be warm," expressing the old man's intention to perform the processes; the process "leaned" associated with the Range "against the line" specifying the scope of the process; and the processes "he saw" and "rested." As for the processes added, they are mostly concerned with the vivid descriptions of

the old man in making preparations for the fight and his tactful skills in handling the line to catch the fish. Overall, the additions appear to be expanded descriptions of the actions performed by the old man to deal with the fish. Regarding the processes modified, there are altogether fifty-four instances, which are a lot more than other categories of lexical items, showing that modification of process is the most dominant category of lexical items altered in Li's translation of the material processes. The processes modified are mostly those delicate portrayals of the actions performed by the old man to his fishing gear, his boat, the shark, the fish; or the actions performed by his cramped hand or bodily parts in battling with the fish. Furthermore, the modifications of processes are all made on the basis of the original by transposing the original images into new ones to produce different pictures in the portrayals of events and actions. The more prominent modifications of processes are such as changing "and more strength he had just summoned" to "還加上一時橫下的狠心" (118), picturing that the old man hits the fish with a merciless heart; changing "though faster than he would have fished if he was not trying to use the bird" to "如果不是想利用鳥兒的話,船是會划得更慢一些的" (466), expressing that the boat will sail slower if the old man does not intend to use the bird; changing "He was letting the current do a third of the work" to "船每行三分,有一分是借水流的力," (467) depicting that for every three units the boat sails, one of which is constituted by the force of the current, and so on. On the whole, Li shifts some of the original images of the material processes. Yet it seems that the peculiar "actional framework" (in Simpson's words) of the original is still basically preserved, though it is manifested in different forms.

Next to "process" is the category of "concrete detail," which is the second most drastically altered lexical item uncovered. Contrary to "process," there are a lot more omissions (nineteen instances) than additions (six instances), and twelve instances of modifications are found. The concrete details adjusted by means of omission,

addition and modification are mostly the Goals, the Ranges or other delicate details of descriptions such as the premodifiers or postmodifiers. The concrete details omitted include those about the old man's left hand, his thumb and finger, the reserve coils, the lines, a patch of yellow Gulf weed, the cord, the black man from Cienfuegos, and so so. The concrete details added are those concerned with the line, the fish, the old man as a fisherman, and the Sargasso weed. The concrete details modified are those in the portrayals of the line, the course of the skiff, the solid rubberiness the old man hits, the old man's head and left hand, the boat, the fish, and so on. The more prominent modifications of concrete details are such as changing "hit only the heavy solid rubberiness" to "一棍子打去,還象實心皮球一般" (206), creating the analogy of a hard-core ball the old man hits; changing "But his left hand had always been a traitor" to "左手不爭氣" (346), depicting that the old man's left hand does not compete well; changing "by gaining some more line he could have him alongside" to "再收進一段繩子後,魚就會近了" (227), representing that the fish would come alongside instead of emphasising that it is being pulled by the old man to come towards him.

Subsequent to "process" and "concrete detail," "circumstance of manner" and "circumstance of spatial location" are other categories of lexical items that are altered significantly in Li's translation. There are respectively twenty circumstances of manner and eighteen circumstances of spatial location adjusted mostly by means of omission rather than addition, and altogether thirteen circumstances of manner and sixteen circumstances of spatial location omitted, while only six and two of each are added respectively. Also, there is only one circumstance of manner modified. The significant omissions of the circumstances of manner and spatial location in Li's translation of the material processes reproduce relatively rougher images than the original in the portrayals of the events and actions of the old man's battle with the fish. It seems that there is less information provided on "how" and "where" the processes

are performed by Li compared to the original.

A few other adjustments are made in Li's translation of the material processes, including two omissions of the circumstances of cause, three omissions of the circumstances of temporal location (two instances of "now" and one instance of "then") and one addition of the temporal location "every time." It is worthy of attention that two processes are modified – "用作孤注押在垂死的大魚身上" (29), "他實踐過千百次, 那都是過去的事了," (345) which appear to be more like psychological rather than concrete and objective descriptions as they are generally found in other adjustments. They seem to be evaluative comments on the old man who is gambling on hitting the dying fish, and his repeated trials to catch the fish. Finally, there are six restructurings of the sequences of details found in the portrayals of the fish, the boat, the shark and the old man's hands and motion. Overall, Li appears to make drastic changes to the original, and it seems unusual that there are significantly a lot more omissions and modifications than additions done to a variety of lexical items.

Regarding Zhao's translation, obvious shifts are made by means of omission (five instances), addition (thirty-one instances), modification (fifteen instances) and restructuring of the sequences of details (fourteen instances), though, they are generally relatively less drastic compared to those of Li's version. Table 3.36. below provides a frequency list of the categories of lexical items adjusted in Zhao's translation of the material processes by means of omission, addition and modification.

**Table 3.36. Categories of Lexical Items Adjusted in Zhao's
Translation of the Material Processes**

categories of lexical items adjusted/ frequency	Omission	Addition	Modification	Total frequency
1. process	0	14	8	22
2. psychological description	0	1	0	1
3. concrete detail	1	10	7	18
4. circumstance of manner	2	1	0	3
5. circumstance of spatial location	1	2	0	3
6. circumstance of spatial extent	1	0	0	1
7. circumstance of temporal location	0	3	0	3

Similar to Li's version, the lexical item "process" has been the focus of attention in Zhao's translation, with the most adjustments made by means of addition (fourteen instances) and modification (eight instances), with a total of twenty-two instances. The processes added appear to be mostly those presuppositions or inferences made explicit to explicate the specific contexts in which events occur, including adding “下水” to “the old man gave up a little line” (166) to make clear that the old man gives up a little line down to water; adding “拽著” to “he shifted the heavy line from his right hand to his left” (162) to elaborate that the old man is holding the line; adding “碰到” to “he had hooked one of a pair of marlin” (213) to make explicit that the old man has met the marlin; adding “兩只都來拉吧” to “Pull, hands, he thought” (592) to emphasise the old man's self-command to pull with both hands, and so forth. Different from these additions of processes, there are a few others appearing to be marked creations formed out of the imagination of the translator such as adding “就能鑽個空子” to “in two turns he would have a chance to get the harpoon in” (85) to explicate that the old man is digging a hole to harpoon the fish; adding “晾” to “he spread them out on the wood of the bow” (58) to describe that the old man spreads out the six strips of fish to

dry them. As for the processes modified, they seem to be mostly minor adjustments such as changing “But when he was touching the breaking point” to “但是一覺得快斷了” (448), reproducing the old man’s feeling that the line is going to break; changing “but he held on the great fish all the strain that he could” to “但他盡量對大魚保持著牽制力” (19), describing that the old man keeps the fish restrained as much as he could; changing “But when he put all of his effort on” to “然而當他打起全副精神” (30), representing that the old man is gathering all his spirit to catch the fish. Nevertheless, compared to the adjustments made by Li, Zhao appears to make less drastic changes and replicates the original to a greater degree.

Next to “process” is “concrete detail,” which is the second major category of lexical items modified by Zhao in the translation of the material processes. They are done by means of omission (one instance), addition (ten instances) and modification (seven instances). The concrete detail omitted is the postmodifier “where he had kept a loop of the line.” The concrete details added are those concerned with the old man’s right hand, the blood in his cheek, the fingers of his left hand, the fish, the baits, and so on; and the concrete details modified are those about the fish that the old man cuts and punches, the colour of the fish, the sack and so on. The concrete details adjusted usually concern the Goals impacted on by the processes. Similar to those changes made to “process,” they are usually done by means of addition and modification to incorporate into the translation new elements that are not displayed in the original.

Other than “process” and “concrete detail,” there are a few other slight adjustments found, including two omissions and one addition of the circumstance of manner, one omission and two additions of the circumstances of spatial location, one omission of the circumstance of spatial extent and three additions of the circumstances of temporal location. Finally, a significant number of restructurings of the sequences of

details are made by Zhao, with a total of fourteen instances, which are far more than those of the other three versions. It seems that Zhao is the most creative among the four translators in reordering the sequences of information flexibly to produce different emphases or stylistic effects in the descriptions of events. Overall, addition and restructuring of the sequences of details appear to be the prominent strategies used by Zhao in the translation of material processes.

4.4. Translation of the Mental Processes

A similar pattern of findings is uncovered in the four translations of the mental processes, with only slight adjustments made by Hai and Wu, while noticeable shifts are found in Zhao's translation and the most drastic ones in Li's. Table 3.37. belows outlines the frequencies of the four kinds of adjustment made in the four translations.

Table 3.37. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Mental Processes

Translation Strategy / frequency	Hai	Wu	Li	Zhao
Omission	2	0	41	7
Addition	5	5	7	16
Modification	4	2	43	3
Restructuring of the sequences of details	1	1	2	7
Total frequency	12	8	93	33

There are a total of twelve, eight, ninety-three and thirty-three adjustments made respectively by Hai, Wu, Li, and Zhao by means of omission, addition, modification

and restructuring of the sequences of details in the translation of the mental processes. Regarding Hai's translation, only slight adjustments are found. There are a total of two omissions, five additions, four modifications and one of restructuring of the sequence of details. Moreover, about half of the shifts (seven instances) are made to the lexical item "process." The mental process omitted is the one instance of the perceptive verb "felt"; the mental processes added include two instances of the perceptive verb "saw" (看見, 望見), and one of the repetition "hear" (聽見). Moreover, the verb "打在" is added to the mental process "felt" to make explicit that the old man hits the shark's bone (808). As for the processes modified, the perceptive verb "feel" in the expression "and feel his back against the stern" is slightly changed to "把脊背放在船梢上碰一碰" (805), depicting that the old man puts his back against the stern to touch it; the perceptive process "I feel strong" is changed to "我有的是力氣" (835), expressing that the old man has his own strength. Other changes include one omission of the circumstance of spatial location – "at that height," one addition of the circumstance of manner – "目不轉睛地," two modifications of the concrete details regarding the old man's poor eyesight and his opinion on sin, and one restructuring of the sequence of details concerning the fish the old man harpoons. The modification of the concrete detail "and he could only see well in flashes" deserves attention since Hai's rendering – "而他所能看見的只是一眨眼就過去的閃光" (786) is particularly different from the other translations. The expression "in flashes" is taken literally by Hai as "閃光," representing that the old man could only see the flashes that will fade away shortly; while the other translators interpret "in flashes" more metaphorically, expressing that the old man has only a blurred vision, being able to see well only occasionally.

Wu's translation of the mental processes appears to make the least adjustments by means of addition (five instances), modification (two instances) and restructuring of

the sequences of details (one instance), with no omission found. The adjustments are all made to “process” and “concrete detail.” Three mental processes are added, two of which are the repetitions of the perceptive verbs “saw” – “看見,” “看清” and the other is the repetition of the cognitive verb “knew” – “還知道.” Moreover, there are two additions of concrete details concerning the language of the words – “calambre” (899) and “Gran Ligas” (901). They are additional notes given in-text to explain that the two words are both Spanish. Furthermore, two concrete details are modified, one of which concerns the description of the white naked line of the fish’s backbone the old man sees; it is slightly shifted to the analogy that the white naked backbone of the fish is like a white line – “他看清它赤露的脊骨像一條白綫” (749); another is about the desiderative process – “and he loved to walk on them on the beach after a storm,” which is slightly adjusted to “喜歡在風暴過後在海灘上遇上它們” (953), expressing that the old man loves to meet the turtles after the storm on the beach. Finally, there is one restructuring of the sequence of details concerning the way the skiff sails. Overall, Wu’s translation of the mental processes is very faithful to the original, with only mild changes made.

As for Li’s translation of the mental processes, there are a significantly greater number of shifts found, with a total of ninety-three instances, than the other translations by means of omission (forty-one instances), addition (seven instances), modification (forty-three instances) and restructuring of the sequences of details (two instances). Table 3.38. below outlines the categories of lexical items adjusted in Li’s translation of the mental processes.

**Table 3.38. Categories of Lexical Items Adjusted in Li's Translation
of the Mental Processes**

Categories of lexical items adjusted / frequency	Omission	Addition	Modification	Total frequency
1. process	15	2	28	45
2. concrete detail	18	4	14	36
3. circumstance of manner	0	1	1	2
4. circumstance of spatial location	7	0	0	7
5. circumstance of temporal location	1	0	0	1

As revealed in the above table, most of the shifts in Li's translation of the mental processes are done to "process" and "concrete detail" primarily by means of omission and modification. There are altogether fifteen mental processes omitted, including five instances of "saw," two of "felt," four of "knew," two of "think," one of "believe" and one of "expect." As for the concrete details omitted, there are eighteen instances in total. They are mostly delicate details about the things (Phenomena) the old man perceives such as "the clicking chop" in "and the clicking chop of the teeth as he drove forward in the meat just above the tail" (737), the acts (Macrophenomena) the old man sees such as "one of the projecting green sticks" in "he saw one of the projecting green sticks dip sharply" (759), or the propositions (Metaphenomena) he projects as "the great" in "But I think the great DiMaggio would be proud of me today" (921). Other noticeable omissions include seven instances of the circumstances of spatial location and one circumstance of temporal location. Li seems to put less emphasis on the mental activities performed by the old man, and to provide less delicate details in the portrayal of the objective setting.

Compared to a greater number of omissions found in Li's rendering of the mental processes, there are just a few additions of processes (two instances) and concrete

details (four instances). The processes added include “定睛” (757), describing that the old man fixes his sights on the flying fish; and “照目前航向” (836), expressing the old man’s judgement on the existing course of sailing. The concrete details added are all information about the fish, the line and the way the old man deals with the fish. Moreover, one circumstance of manner “彷彿” (818) is added to express that the old man seems to feel the delicate pulling of the line. Regarding the modifications of processes and concrete details, there are respectively twenty-eight and fourteen instances. The processes modified are such as changing “did not know” and “saw” to “叫不出名” and “但認得出” (725, meaning could not call but could recognise the name), changing “see” to “觀察” (754, meaning observe), changing “saw” to “估計” (785, meaning estimate), changing “felt nothing” to “空等一場” (794, meaning waiting in futility), changing “felt” to “懷疑” (826, meaning doubt), changing “knew” to “發現” (859, meaning discover), changing “knew” to “眼看” (862, meaning see), changing “knew” to “提醒” (871, meaning remind), changing “think” to “思想要集中” (912, meaning to concentrate the mind), changing “hope” to “想” (958, meaning think). Furthermore, there are a few mental processes shifted specially from the original “like” type to “please” type such as changing “But watching the movement of the water against his hand he noted that it was perceptibly slower” to “但是右手邊上的水流告訴他：速度顯然放慢了” (852), representing that the movement of the water against the old man’s right hand informs him of its perceptibly slower speed; changing “and felt the strength of the great fish through the line” to “勒在肩頭上的釣絲告訴他” (820), describing that the line across the old man’s shoulder tells him something. In both examples, it is the Phenomenon that causes the old man’s emotion rather than vice versa as that in the original. As for the modifications of concrete details, they are mostly those about the fish, the hills, the bird, the sea, the sky, the shark and so on, which are all information about the environment the old man perceives or the propositions he projects.

Regarding Zhao's translation of the mental processes, noticeable adjustments are made by means of the four kinds of adjustment techniques, though they are relatively lighter compared to those made by Li. Table 3.39 below lists the categories of lexical items adjusted by Zhao in the rendering of the mental processes.

**Table 3.39. Categories of Lexical Items Adjusted in Zhao's
Translation of the Mental Processes**

Categories of lexical items adjusted / frequency	Omission	Addition	Modification	Total frequency
1. process	5	5	2	12
2. concrete detail	0	10	1	11
3. circumstance of spatial location	2	0	0	2
4. interjection	0	1	0	1

As revealed in the above table, the changes are made mostly to “process” (twelve instances) and “concrete detail” (eleven instances) by means of omission, addition and modification; and addition appears to be the most prominent strategy used by Zhao. There are altogether seven omissions found, five of which are made to “process” and two to “circumstance of spatial location.” The mental processes omitted include two instances of “saw,” two of “felt,” and one of “know.” Moreover, there are five additions of processes and ten of concrete details. The processes added include “想必是” (776, meaning he thought it must be), “一看” (801, meaning to glance at it), “我看不抱希望也是椿罪過” (930, expressing that the old man thinks it is a sin not to hope). In addition, there are two processes added to the mental processes “he knew” – “敗得徹底” (873), describing the old man's knowing that he is beaten thoroughly; and “he was pleased” – “樂得讓它掛著” (878), picturing that the old man is pleased to let the yellow weed hang on the line. As for the additions of concrete

details, they are mostly vivid images about the boat, the fish and the battle with it, the city, and a school of porpoise. Furthermore, there are three notes added in-text to explain that the city is Havana (746), and the words “calambre” (899) and “Gran Ligas” (901) are both Spanish. Last, an interjection “嗨” (911, pronounced as “hai”) is added specially to highlight the old man telling himself not to think about sin. As for modification, two mental processes are transposed to new processes, including changing “He only noticed ” to “他只體會到” (849, meaning he only realises that), changing “ where he wished it to be” to “正好在他計劃的位置” (961, meaning where he plans it to be). Moreover, there is one modification of concrete detail, changing “and he felt the harshness as he leaned back to pull” to “就覺得背痛難熬” (797), depicting the old man’s feeling of the unbearable pain of his back. Overall, only a few modifications and a small number of omissions are found in Zhao’s translation of the mental processes, while addition and restructuring of the sequences of details appear to be the prominent strategies used. Particularly, there are altogether seven restructurings of the sequences of details, which outnumber those of the other versions in this respect.

4.5. Translation of the Behavioural Processes

Compared to the translation of the material and mental processes, only slight changes are made in the translation of behavioural processes by Hai Wu and Zhao, while Li still makes the most modifications compared to the three others. Table 3.40. below lists the frequencies of the four kinds of adjustment found in the four translations of the behavioural processes.

Table 3.40. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Behavioural Processes

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	0	0	8	0
Addition	3	1	7	2
Modification	0	0	6	1
Restructuring of the sequences of details	0	0	0	0
Total frequency	3	1	21	3

Hai, Wu and Zhao all make only slight adjustments in the translation of behavioural processes. Regarding Hai's version, only three additions are made; two of which are the circumstance of manner “目不轉睛地” (972, 973) and one is the process “留意” (982) added to describe the old man's watching. As for Wu's translation, only one circumstance of manner “仔細” (990) is added to describe the old man's careful watching of the flow of the water.

With regard to Li's translation of the behavioural processes, there are still noticeable adjustments made by means of omission (eight instances), addition (seven instances) and modification (six instances). Table 3.41. below provides the frequencies of the categories of lexical items adjusted in Li's translation of the behavioural processes.

Table 3.41. Categories of Lexical Items Adjusted in Li's Translation of the Behavioural Processes

Categories of lexical items adjusted / frequency	Omission	Addition	Modification	Total frequency
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1. process	4	2	3	9
2. psychological description	0	0	1	1
3. concrete detail	1	3	2	6
4. circumstance of manner	0	1	0	1
5. circumstance of spatial location	3	0	0	3
6. circumstance of temporal location	0	1	0	1

It appears that “process” is still the focus of attention in Li’s rendering of the behavioural processes. There are four omissions, two additions and three modifications of processes. The behavioural processes omitted include two instances of “watched,” one of “looked” and one process regarding the old man’s watching of the first light coming before the sunrise (992). As for the two processes added, one of which is a material process – “搜索” (993, meaning to search for); another is a relational process – “落山太陽我不怕” (1021), expressing that the old man is not afraid of the sunset. Regarding the three processes modified, they are altering the behavioural processes of watching to new processes such as changing “the man could tell from watching the stars” to “老人善觀星象,辨識方向” (986), portraying that the old man could recognise the stars and identify the direction well. Other than “process,” there are six instances of “concrete detail” adjusted, including one omission of details about the bait fish; three additions of delicate details concerning the fish and the cat the old man watches; and two modifications about the shark and the swirls of the fish the old man watches. Other minor adjustments include one addition of the circumstance of manner – “然後他漫無目標地” (994), distinguishing that the old man watches the road aimlessly, one addition of the circumstance of temporal location “間或” (1011, meaning at intervals), and three omissions of the circumstances of spatial location. Finally, it is worthy of attention that there is a psychological description particularly modified in the form of a rhetorical question to reproduce that the old man has no leisurely mood to watch the sinking shark – “平時這情景老人是很

愛看的,但現在哪有這份開心?” (979)

As for Zhao's translation of the behavioural processes, only slight adjustments are found. There are altogether two additions made, one of which is an elaborate description of the old man's watching the star, and another one is a psychological description about the old man's feeling at ease in watching the fish – “好叫自己放心” (1009). Finally, there is one modification of concrete detail regarding the old man's notice of the slower motion of the fish.

4.6. Translation of the Relational Processes

With regard to the translation of the relational processes, there are generally less changes made in the four translations compared to those of the material and mental processes, even though the intensive attributive clauses with Quality Attribute is the second major subcategory of process type identified, only next to that of the material effective clauses, and the total number of mental clauses is not a lot more than that of the relational clauses, respectively 255 and 206 instances – accounting for 19.97% and 16.13% of the sum total. Table. 3.42 below outlines the frequencies of the four kinds of adjustment made in the four translations of the relational processes.

Table 3.42. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Relational Processes

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	1	0	7	0
Addition	1	2	10	7
Modification	0	0	15	4

Restructuring of the sequences of details	0	1	1	4
Total frequency	2	3	33	15

Hai and Wu consistently make only slight changes in their versions. Only few adjustments are found in their translations of the relational processes. For Hai's version, there is one omission of the premodifier "new" in a circumstantial identifying clause (1223), coupled with one addition of the process – “不過,你呀,” (1030), laying emphasis on the old man's self-affirmation that he is good for ever. As for Wu's translation, the circumstance of manner “到這個程度啊” (1048) is added to an intensive attributive clause, emphasising the old man's thought that his head is not clear to a serious extent. Moreover, there is one addition of concrete detail in the depiction of the “forty-fathom bait” (1119), and one restructuring of the sequence of details in an intensive identifying clause identifying the old man as champion (1214). Overall, both Hai and Wu's translations are very close to the original in the rendering of the relational processes.

Regarding Li's translation of the relational processes, different from the findings of his translations of the material, mental and behavioural processes, there are slightly more additions (ten instances) than omissions (seven instances), while noticeable modifications (fifteen instances) are still made. Table 3.43. below provides the frequencies of the categories of lexical items adjusted in Li's translation of the relational processes.

Table 3.43. Categories of Lexical Items Adjusted in Li's Translation of the Relational Processes

Categories of lexical items adjusted / frequency	Omission	Addition	Modification	Total frequency
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1. process	1	7	2	10
2. concrete detail	6	3	13	22

As revealed in the above table, “process” and “concrete detail” remain to be the dominant lexical items adjusted in Li’s translation of the relational processes. One material process – “than to lose your strength from nausea” accompanying the intensive attributive clause – “It is better to be lightheaded” (1055) is omitted. Moreover, there are altogether seven additions found; one of which is an intensive attributive clause expressing the old man’s opinion that it is good to hook a fish – “釣一條大魚是好事” (1032), one is a possessive attributive clause describing the old man’s pity for the fish – “也抱有憐憫” (1036), and the other five instances are all material processes added to expand the original intensive attributive clauses (1072, 1078, 1100) or the intensive identifying clauses (1215, 1224) in the portrayals of the old man’s moods and born duty in battling with the fish. Furthermore, there are two material processes accompanying two intensive attributive clauses modified, creating new images in expressing the old man’s self-command not to yawn – “不要打瞌睡” (1096), and his comment that it is too late to eat food to refresh his spirit – “現在靠食物提神也來不及了” (1134).

Other than “process,” there are a total of twenty-two adjustments made to “concrete detail,” which significantly double those done to “process” The concrete details adjusted are mostly information about the Quality Attributes or the Entity Attributes of the intensive attributive clauses, the Attributes (the possessed) of the possessive attributive clauses, or the identifiers of the intensive identifying clauses. There are altogether six concrete details omitted, which are concerned with the old man’s head (1043), the big fish (1058, 1103, 1184), the old man’s cramped hand (1087) and his pulling of the line (1159). In addition, there are three additions of concrete details, which are

those about the radios possessed by the rich (1084), the flesh of the fish (1143) and the comfort of bed (1148). Finally, thirteen concrete details are modified, changing the original images regarding the old man's eyes (1026), his mood of killing the fish (1038), his head (1048), his opinion on luck (1054), his blurred eyesight (1060), the plankton (1069), a line burn (1167), the withdrawn turtles (1186), three forty-fathom coils of line (1188), the hand-wrestling game the old man plays before (1191), the shrimps he eats (1192), the wind (1218) and the two porpoises (1222). Last, there is one restructuring of the sequence of details concerning the old man's identity as "Santiago El Campeón" (1214). On the whole, obvious adjustments are still found in Li's rendering of the relational processes, though they are far less than those in the translation of the material and mental processes.

As for Zhao's translation of the relational processes, there are altogether seven additions and four modifications made mainly to "process" and "concrete detail." The additions of processes include one possessive attributive clause expressing that the old man has no problems of bone spurs in hitting the fish (1090), one material process added to an intensive attributive clause describing the old man's hitting the sharks (1146), and one material process added to a circumstantial attributive clause depicting the old man's climbing (1177). Furthermore, three are three concrete details added to the attributive clauses in describing the old man's speeches with the bird (1039), the baits behind him (1172), and his feet and hands (1181). It is noteworthy that a psychological description is added to an identifying clause, highlighting the old man's determination not to think about his past accomplishments in the battle (1228). As for the four modifications, they are all made to "concrete detail" in the attributive and identifying clauses, creating new images in the descriptions of the old man's mood when luck comes (1082), the situation that he has no radios to listen to (1212), his choice to find the fish (1215), and his comment on daylight (1230). Last, there are four

restructurings of the sequences of details in the portrayals of the old man's movement, the turtles, the coils of line and the old man's identity as the champion, showing that restructuring of the sequences of details is still a prominent strategy used in Zhao's rendering of the relational processes compared to the other versions.

4.7. Translation of the Existential Processes

Only slight adjustments are made by Hai, Wu and Zhao in the translation of the existential processes, except for the relatively greater number by Li. Table 3.44. in the following lists the frequencies of the four kinds of adjustment found in the four translations of the existential processes.

Table 3.44. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Existential Processes

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	0	0	7	0
Addition	0	1	3	2
Modification	0	0	2	0
Restructuring of the sequences of details	0	0	0	0
Total frequency	0	1	12	2

Similar to the translation of the other process types, Hai's version is very close to the original, with no obvious adjustments made. As for Wu's version, there is one concrete detail added to the Existent "much betting" to make explicit that many people are betting about who would win and who would lose in the hand-wrestling game – “好多人在賭誰勝誰負”(1264). For Zhao's version, one concrete detail is added

to the Existent “two [coils] from each bait he had severed” (1239), and one premodifier to “a norther” (1266).

Li’s translation of the existential processes still makes the most adjustments by means of omission (seven instances), addition (three instances) and modification (two instances). They are made mostly to “concrete detail.” Omission is still the prominent strategy used by Li. There are altogether six omissions of concrete details, which are all delicate descriptions about the Existents – seven hundred fathoms (1232), two coils of line (1239), the head, eyes and jaws of the fish (1251), the scent of the fish (1252), the flying fish (1253) and the hurricane (1274). Furthermore, there is one omission of the circumstance of manner in the description of the wind (1267); two additions of concrete details regarding the Existents – the bleeding fish (1257) and the boy’s worrying about the old man (1276); one psychological description in the form of a rhetorical question specially added to express the old man’s doubt about sin – “何必費這份心思呢？” (1268). Finally, two concrete details are modified regarding the old man’s finding his hand to help him (1258), and the fact that there is nothing else for the sharks to eat (1270). Overall, there are still noticeably more omissions than additions found in Li’s translation of the existential processes, which are mostly shifts in the delicate details about the Existents.

5. Concluding Remarks: Individual Patterns of Choice of the Four Target Texts in the Translation of Transitivity

As demonstrated in this chapter, I successfully applied Halliday’s (1994) transitivity model to scrutinise the worldview of the old man in his three-day battle with the fish and identify shifts in the four translations. In view of the findings gathered from the analysis of the four target texts, I discovered that they each display an individual and

consistent pattern of linguistic behaviour across the translation of the five different process types investigated. Table 3.45. below provides the total frequencies of the four kinds of adjustment found in the four versions of the transitivity system for further discussion. They are compiled by adding up the individual frequencies of each of the four kinds of adjustment technique used across the four translations of the five process types studied together as a whole.

Table 3.45. Total Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Five Process Types

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	9	2	127	12
Addition	17	22	56	58
Modification	7	3	135	23
Restructuring of the sequences of details	1	5	9	25
Grand total frequency of the adjustments made across the five process types	34	32	327	118

As revealed in the above table, Li makes a significantly greater number of changes (327 instances) than the others, followed by Zhao (118 instances) in the translation of the five process types studied as a whole. Compared to Li and Zhao, Hai and Wu relatively make less adjustments in their versions, respectively thirty-four and thirty-two instances, and the difference between them is slight. This pattern is consistently displayed across the four translations of each of the five process types investigated. In addition, it appears that Li tends to use omission (127 instances) and

modification (135 instances) extensively, while Zhao is prominent in using addition (fifty-eight instances) and restructuring of the sequences of details (twenty-five instances). Zhao is particularly outstanding in restructuring the sequences of details, with a total of twenty-five instances, which is significantly more than the three others. Finally, Hai rarely reorders the sequences of information, with only one instance found; Wu is also sparing with the use of omission and modification, with only two and three instances recorded respectively.

With regard to the categories of lexical items adjusted, it is revealed that “process” and “concrete detail” are consistently the focus of attention in all four translations of the five process types examined. Table 3.46. as follows provides the total frequencies of the major categories of lexical items adjusted in the four versions of the five process types compiled together. Similarly, they are generated by adding up the individual frequencies of each of the major categories of lexical items adjusted across the four translations of the five process types.

Table 3.46. Total Frequencies of the Categories of Lexical Items Adjusted in the Four Translations of the Five Process Types

Categories of lexical items adjusted/ frequency	Hai	Wu	Li	Zhao	Total frequency
1. process	13	4	141	38	196
2. psychological description	1	0	4	3	8
3. concrete detail	10	15	111	39	175
4. circumstance of manner	5	6	24	3	38
5. circumstance of spatial location	2	2	28	5	37
6. circumstance of temporal location	2	0	6	3	11

There are a total of 196 and 175 adjustments made respectively to “process” and “concrete details” by all four versions as a whole, indicating that the lexical items adjusted the most in all of them are consistently those about the processes or the participant roles associated with which in all five process types examined, though the circumstantial elements are also noticeably altered. In fact, “process” and “concrete detail” are constantly modified the most in all four translations, though they are done in different forms and to different degrees in each version. It is worth noticing that there are just a few psychological descriptions altered in all four translations, with a total of only eight instances. This seems to support that most of the shifts made in all four versions are more concrete and objective rather than abstract and evaluative, which reproduce closely the style of the original in this respect. Finally, the circumstances of manner, spatial location and temporal location are also significant categories of lexical items modified in all four translations, respectively with a total of thirty-eight, thirty-seven and eleven instances.

Chapter Four

Translation of Point of View

1. Introduction

This chapter is the second part of the corpus-based studies conducted for textual analysis. It aims to scrutinise *The Old Man and the Sea* and its four Chinese translations from the perspective of modality. Simpson's model of point of view (1993) built on the basis of a modal grammar is employed as the linguistic model for conducting multilayered stylistic analyses of the third day's battle of the old man with the marlin. The text mainly deals with the repeatedly unsuccessful attempts of the old man to pull the fish closer towards him to hook it, his eventual success in harpooning it, yet the tragic ending of the fish being torn and eaten by the sharks. Due to space considerations, only approximately one third of the text relative to the three-day battle covered in the previous chapter is selected as a sample for study. This part of the novella is prominent in the use of a variety of modal operators to represent a rather paradoxical worldview of the old man in his fight with the marlin, and thus is a good text for the stylistic study of modality. The analyses conducted are based on a mini parallel corpus of *The Old Man and the Sea* compiled, covering a total of 111 clauses (from numbers 1278 to 1388), accounting for about 8% (out of 1,388) of the total number of clauses of the two corpora examined. Those clauses containing modals such as "can," "could" or "would" that overlap with and were already included for investigation in the transitivity corpus are not covered⁴³. I intend to study the source text of *The Old man and the Sea* and its target texts with reference to modality in

⁴³ The whole mini parallel corpus compiled with reference to Simpson's (1993) model of point of view, a frequency list of the lexical items categorised, and a comprehensive list of the shifts identified in the four translations are attached respectively in Appendices B.1., B.2. and B.3. on the CD-ROM with the thesis for further reference.

order to find out whether similar patterns of rendering as those identified in the translation of the transitivity system in the previous chapter are exhibited. This will allow me to check the reliability of the data, and to explore new findings from another aspect. Specifically, this chapter focuses on comparing the original and its four translations with regard to the following linguistic features:

1. The deontic modals “must,” “can/ could,” “will/ would” and generic statements (from clauses number 1278 to 1334 of the mini corpus compiled).
2. The epistemic modal operators including “perhaps,” “will,” “may/ maybe” “would rather,” “I do not/ cannot know,” “I wonder,” “might as well have been,” “I am not sure,” “I suppose,” “should have,” “might have,” “But I am sure,” “could have,” “But if I had,” “what he could do,” “But if I had,” “What will you,” “if they come in,” “What can you do,” “Maybe I’ll,” “What could I,” “You might,” will probably” and “what can” (from clause numbers 1335 to 1380).
3. The boulomaic modal operator “wish” (from clause numbers 1381 to 1388).
4. The modes of point of view exhibited in the corpus studied (out of the nine polarities of point of view proposed by Simpson’s model) by the interaction of the type of modality with the viewing position of the narrator, coupled with the form of speech and thought presentation employed in a particular mode of point of view.
5. The transitions from one mode of point of view to another by looking into the transitions from one sequence of the data of event recorded in the mini corpus to another.⁴⁴

Similar to the structure of the previous chapter, this chapter is divided into five

⁴⁴ The sequence of each data of event (from 1 to 81) is recorded in brackets beside the time scheme (either the third day or the third night of the third day’s battle) of each data located in the second column of the mini corpus compiled for easy reference.

sections: section one is the introduction, section two is a review of the core concepts of modality, and the nine polarities of point of view interwoven with the modes of speech and thought presentation proposed by Simpson, sections three and four are respectively the analysis of the source text and that of the target texts. Finally, section five is the concluding remarks on the individual patterns of choice uncovered in the four versions with reference to modality.

2. Modality

This section provides a brief review of the core concepts of modality introduced by Simpson (1993), supplemented by those relevant ideas mentioned by Simpson (1990), Halliday (1994), Fowler (1996), Martin et al. (1997) and Han (2005) that are not highlighted in Simpson's (1993) *Language, Ideology and Point of View* but are important for a comprehensive understanding of the key ideas of modality. Examples are quoted from the above-mentioned sources as illustrations.

Modality refers to the "attitudinal" features of language and belongs to the interpersonal dimension of language. It is concerned with a speaker's attitude towards and opinions about the events and situations around him (Simpson, 1993, p.47). Fowler (1996) defines modality as "the grammar of explicit comment, the means by which people express their degree of commitment to the truth of the propositions they utter, and their views on the desirability or otherwise of the states of affairs referred to" (pp.166-167). According to Fowler (1996), there is a variety of modal structures that can be used to make explicit comments, including modal auxiliaries (e.g. may, might, must, will, shall, should); modal or sentence adverbs (e.g. certainly, probably, surely, perhaps); evaluative adjectives and adverbs (e.g. lucky, luckily, regrettably); verbs of knowledge, prediction, evaluation (e.g. seem, believe,

guess, approve); and generic sentences which proclaim universal truths (p.167). Therefore, modality refers to a speaker's attitude towards the surrounding events or the actual states of affairs.

2.1. Deontic, Epistemic and Boulomaic Modalities

Simpson (1993) broadly divides modality into the deontic, epistemic, and boulomaic systems. Regarding the deontic system, he suggests that deontic modality is the modal system of "duty," expressing a speaker's sense of obligation towards the accomplishment of certain tasks. Deontic modality is often realised by the modal auxiliaries such as "may," "should," "must," showing varying degrees of commitment attaching to the performance of certain actions, as found in the following examples given by Simpson (1990, p.67):

- (1) You may leave at ten o'clock. (permission)
- (2) You should leave at ten o'clock. (obligation)
- (3) You must leave at ten o'clock. (requirement)

The above examples illustrate a continuum of commitment of the deontic system ranging from "permission" (1) through "obligation" (2) to "requirement" (3). Han (2005) observes that deontic modality "is typically concerned with actions that direct human behaviour. In other words, it signifies human intervention and influence over the events referred to" (p.10). The fact that deontic modality is concerned with human control over events differentiates it from epistemic modality, which mainly deals with the belief of a speaker, as explained in the following paragraph.

Contrary to deontic modality, epistemic modality expresses a speaker's degree of confidence in the truth of a proposition stated. It is generally realised by the modal auxiliaries such as "could," "may," "must," "might," "should." (Simpson, 1993, pp.48-49). Han (2005) suggests that epistemic modality is "the expression of

certainty, probability or possibility of an event occurring, or concerning the truth content of a proposition” (p.10). She adds further that unlike deontic modality, epistemic modality is not inherently concerned with human influence or control over events since it is primarily about a speaker’s assessment of the likelihood of events occurring. Thus, epistemic modality is also viewed as “probability” modality whereas deontic modality as “obligation” modality (p.11). Nevertheless, similar to deontic modality, there is an epistemic modality scale realising a semantic continuum of probability ranging from uncertainty (1) through probability (2), certainty (3) to logical necessity (4) as illustrated by the following examples provided by Han (2005, p.12):

- | | |
|--------------------------------------|--------------------------|
| (1) They <u>may</u> be there now. | (possible but uncertain) |
| (2) They <u>should</u> be there now. | (probable) |
| (3) They <u>will</u> be there now. | (certain) |
| (4) They <u>must</u> be there now. | (logical necessity) |

Regarding boulomaic modality, it is closely related to the deontic system, according to Simpson’s (1993) classification of modality. It is concerned with the wishes and desires of a speaker, as revealed in the examples below given by Simpson (1993, p.48):

- (1) I hope that you will leave.
- (2) I wish you’d leave.
- (3) I regret that you’re leaving.

The use of the modal lexical verbs “hope,” “wish,” and “regret” in the above sentences all express the speaker’s wishes and wants in the boulomaic system of modality.

2.2. Halliday’s Classification of Modality

Halliday’s (1994) classification of modality is slightly different from Simpson’s (1993), and he highlights some other concepts that are also important for an overall

understanding of modality as attitudinal features of language. The following provides a brief review of Halliday's classification of modality, his notions of subjective versus objective modality and their inherently metaphorical nature, coupled with "active" versus "passive" modulation introduced in Halliday (1970, 1994) and Martin et al. (1997).

In Halliday's classification of modality (1994), probability or epistemic modality is grouped under modalization, which he associates with propositions (statements and questions); while obligation or deontic modality together with inclination modality are grouped under modulation, which are associated with proposals (offers and commands). In addition, he suggests that there are three "values" of modality – high, median and low – attaching to the modal judgment. Table 4.1. as follows briefly outlines the concepts of modalization and modulation modalities coupled with the three values of modality introduced by Halliday (1994, pp.356-358).

Table 4.1. Halliday's Modalization and Modulation Types of Modality (Extracted from Halliday, 1994, p.357)

Type of modality	Modalization (probability)		Modulation (obligation or inclination)		
	"indicative" type (declarative or interrogative type)		"imperative" type		
	probability	example of modal auxiliary used	obligation	inclination	example of modal auxiliary used
High	certainly	it must be	required	determined	must do
Median	probably	it will be	supposed	keen	will do
Low	possibly	it may be	allowed	willing	may do

In addition to the values of modality, Halliday makes a distinction between the

subjective and the objective orientation of modality. The subjective modality is often realised by the first-person present-tense mental processes of cognition such as “I think,” “I reckon,” “I suspect” or relational processes of cognitive state such as “I’m sure,” “I am convinced,” “I’m uncertain,” which construe the modal judgement of probability as a clause, as a proposition in its own right, making the speaker explicitly involved and responsible for the judgement. By contrast, objective modality is often realised through nominalisations of probability, construing them as a quality by the use of adjectives such as “it is likely,” “it is certain,” or as a thing by the use of nouns such as “there is no possibility,” “there is no need,” detaching the speaker from making commitment to the modal assessment stated (Martin et al., 1997, pp.68-69). According to Halliday (1994, p.362), such explicitly subjective and objective forms of modality are all metaphorical in nature since they give prominence to the speaker’s point of view expressed by dressing it up with assertions such as “I think” or “it is likely that,” making the proposition appear in its own right rather than one directly expressed in its congruent form, such as the distinction between “Greiner must be corrupt” (congruent realisation of modality by the direct use of the modal verb “must be” as Finite to mean what it says) and “I’m sure Greiner is corrupt” (metaphorical realisation of modality by the indirect use of the assertion “I’m sure” to stand for what it means rather than what it really means by what it says) (Martin et. al., 1997, p.69). With regard to modulation modality, Halliday makes a further distinction between “active” and “passive” modulation. “Active” modulation refers to the modulation concerning “ability” and “inclination” that is “intrinsic” to the actor (such as Jones will / can / is able to / is willing to tell you); while “passive” modulation refers to the modulation regarding “compulsion” and “permission” that is “extrinsic” to the actor (such as you may / are allowed / are supposed to / are required to tell) (Halliday, 1970, p.339, p. 341).

2.3. Indeterminacy of Deontic and Epistemic Modalities

In the study of modality, it is important to notice that the boundaries between deontic and epistemic modalities are often not discrete but tend to overlap since the same modal auxiliaries may express diverse meanings that cut across both deontic and epistemic categories, as illustrated in the following example given by Han (2005, p.11):

She may leave the class early.

Han argues that in the above sentence, “may” can be interpreted as “either meaning that permission has been granted, or that there is a possibility of the event occurring.” She adds further that the intended meaning of the speaker can only be understood in the context in which the utterance occurs (ibid.). Thus the boundaries between deontic and epistemic modalities are often not clear-cut and the same modal auxiliary can convey deontic or epistemic modality.

The notion of the basic indeterminacy of the deontic and epistemic meanings has been observed by Coates (1983), as reviewed by Simpson (1990). Coates (1983) suggests that in the study of deontic and epistemic modalities, there are often indeterminate cases where it is hard to decide which of the two meanings is intended. She provides the following example as an illustration (Coates, 1983, p.16, quoted. in Simpson, 1990, p.68):

He must understand that we mean business.

Coates proposes that the above sentence may include the epistemic meaning that “Surely he understands...” or the deontic meaning that “He will have to understand....” Thus, it appears that there are cases in which both epistemic and deontic meanings are “mutually compatible” and “have undergone a merger” in a specific context (ibid.). In addition to the overlap of the deontic and epistemic categories, Coates also points out that there is often a gradient of meaning attaching

to the same modal verb; for instance, the deontic modal “must” exhibits a spectrum of meaning ranging from the “strong” or “core” meaning to the “weak” or “peripheral meaning,” as revealed in the sentence “You must eat your dinner” in which a strong sense of requirement is expressed from a mother to a child; while the sense of requirement is much weaker in the sentence “Clay pots... must have some protection from severe weather” (Coates, 1983, p.21, quoted. in Simpson, 1990, p.68). Therefore, there is often a continuum of meaning even for the same modal auxiliary used in different contexts to express deontic or epistemic modality.

2.4. Categorical Assertions and Generic Statements

To understand better the functions of epistemic modal expressions, it is important to know how they are different from propositions expressed in their “raw” form as categorical assertions as explained by Simpson (1990, 1993). Categorical assertions are epistemically non-modal expressions which express complete or the strongest possible degree of speaker commitment to the truth of propositions since there is no explicit mention of the source of information or explicit qualification of the speaker’s commitment to the propositional content, and thus the speaker has full epistemic warrant for what he says (Lyons, 1977, pp.808-809, quoted in Simpson, 1993, pp.49-50). For example, the speaker is more strongly committed to the unmodalized, categorical assertion “It is raining” than the modalized statement “It must be raining,” since the use of the epistemic modal auxiliary “must” renders the speaker’s commitment to the truth of the proposition explicitly dependent on his limited knowledge, thus detaching him from making full commitment to the qualified statement expressed (ibid.). The strongest kind of categorical assertions displaying full commitment to propositions is manifest in the use of generic statements in which “propositions are expressed as universal truths with nonspecific time reference” such as the generic reference “Women are supposed to be very calm generally: but

women feel just as men feel” as found in Bronte’s *Jane Eyre* (1847, p.141, quoted. in Simpson, 1993, p.57).

2.5. Simpson’s Model of Point of View

Having introduced the core concepts of modality, I now move on to Simpson’s model of point of view (1993, pp.55-81), which is built on the basis of a modal grammar as reviewed in the preceding sections. In this section, I will first introduce the two categories of narratives proposed by Simpson, followed by the three types of modality and the nine polarities of point of view formed by the interaction between the type of modality and the category of narratives employed. Then, I will provide a brief review of the modes of speech and thought presentation, which are techniques intersecting subtly with the nine modes of point of view, and thus are indispensable features to look at in a comprehensive study of point of view.

2.5.1. Category A, Category B(N), and Category B(R) Narratives

In Simpson’s model of point of view, there are broadly two categories of narratives – category A narratives and category B narratives. Category A narratives are those narrated in the first person by a participating character within the story. This is viewed as “homodiegetic” narratives with internal focalization (in Genette’s term), where the narrator has restricted omniscience. Category B narratives are those narrated in the third person by a narrator situated outside the story. This corresponds to Genette’s “heterodiegetic” narratives with external focalization, where the narrator says less than a character knows. Category B narratives are sub-divided further into two modes, depending on whether events are situated outside or inside the consciousness of a particular character. Narratives told from a viewing position outside the story belong to the Narratorial B(N) mode, while narratives that take place

within the consciousness of a particular character belong to the reflector (R) mode. In addition, under each of the categories A, category B(N) and category B(R) narratives, there include the “positive shading,” “negative shading” and “neutral shading” modalities to generate a total of nine polarities of point of view (A+ve, A-ve, A neutral; B(N)+ve, B(N)-ve, B(N) neutral; B(R)+ve, B(R)-ve, B(R) neutral). In the following section, I will introduce the characteristics of the positive shading, negative shading and neutral shading modalities, followed by a brief overview of the distinctions in meaning among the nine modes of point of view which are contributed by the interaction between the type of modality and the category of narratives employed in a particular mode.

2.5.2. Positive Shading, Negative Shading and Neutral Shading Modalities

“Positive shading modality” is characterised by the foregrounding of the deontic and boulomaic systems, *verba sentiendi* (words denoting thoughts, feelings and perceptions), evaluative adjectives and adverbs and generic sentences, highlighting a narrator’s duties, obligations, desires, opinions and judgement; and creating a narrative orientated towards the implied reader with little inferences drawn from the external stimuli. “Negative shading modality,” by contrast, is characterised by the foregrounding of the epistemic and perception modal systems, supplemented with generalised “words of estrangement” such as “apparently,” “evidently,” “perhaps,” “as if,” “it seems,” etc. Moreover, epistemic modal auxiliaries, modal adverbs and modal lexical verbs such as “I suppose,” “I imagine” and “I assume” are commonly used to create distancing effects by expressing a character’s uncertainty, alienation and bewilderment. “Neutral shading modality” is an objective style characterised by the complete absence of narratorial modality, the dominance of unmodalized categorical assertions, few *verba sentiendi* and evaluative adjectives and adverbs. Rather than

presenting qualified opinions and judgements on events and characters, a narrator withholds subjective comments and tells the story primarily through categorical assertions. Thus, the story often comprises sequences of merely physical description with few psychological portraits of characters.

The dominant features of the positive shading, negative shading and neutral shading modalities remain constant across the category A, category B(N) and category B(R) narratives; nevertheless, each type of modality interacts differently with the specific category of narratives to give rise to nine polarities of point of view. The three-way interaction among the three types of modality and the three categories of narratives are illustrated in Table 4.2. below in which the peculiar properties of each of the nine modes of point of view are briefly outlined for reference. More importantly, it is worth mentioning that a single text may realise multiple narrative modes, and it is common to find transitions from one mode to another, which may even occur within the confines of a single sentence. The transitions from one mode of point of view to another in the mini corpus studied will be discussed in section 3.4. under the analysis of the source text.

Table 4.2. Simpson’s Model of Point of View Built on the Basis of a Modal Grammar (Adapted from Simpson, 1993, p.75)

Type of modality	Positive shading modality	Negative shading modality	Neutral shading modality
Category of narratives	deontic, boulomaic systems foregrounded, generics and verba sentiendi present	epistemic and perception systems foregrounded, supplemented with generalised “words of estrangement”	unmodalized categorical assertions dominant, few verba sentiendi and evaluative adjectives and adverbs

<p>Category A narratives (homodiegetic)</p>	<p><u>A+ve</u> first-person narrative via a participating character canonical example: Bronte's <i>Jane Eyre</i> (1847)</p>	<p><u>A-ve</u> first-person narrative via a participating character, creating distancing effect, alienation and bewilderment canonical example: Beckett's <i>Molly</i> (1950)</p>	<p><u>A neutral</u> first-person narrative via a participating character, flat, journalistic style, characteristic of 'hard-boiled' detective fiction example: Chandler's <i>Farewell, My Lovely</i> (1940)</p>
<p>Category B narratives (heterodiegetic) Narratorial (N) mode</p>	<p><u>B(N)+ve</u> third-person narrative via a non-participating narrator, offering opinions and judgements example: Conrad's <i>The</i> <i>Secret Agent</i> (1907)</p>	<p><u>B(N)-ve</u> third-person narrative via a non-participating narrator, creating distancing effect, alienation and bewilderment canonical example: Kafka's <i>The Trial</i> (1925)</p>	<p><u>B(N) neutral</u> third-person narrative via a non-participating narrator, refusing access to thoughts and characters: canonical example: Hemingway's <i>The</i> <i>Killers</i> (1928)</p>
<p>Category B narratives (heterodiegetic) Reflector (R) mode</p>	<p><u>B(R)+ve</u> third-person narrative located within viewing position of character, offering their opinions and judgements canonical example: James's <i>The</i> <i>Ambassadors</i> (1903)</p>	<p><u>B(R)-ve</u> third-person narrative, "estrangement" situated in the mind of character: hence double focalization, distal deictics used to suggest spatial distance between viewer and object example: Kafka's <i>The Trial</i> (1925)</p>	<p><u>B(R) neutral</u> third-person narrative situated in viewing position of character, evaluative modalities still withheld and categorical assertions dominant example: Flaubert's <i>Madame Bovary</i> (1856)</p>

2.5.3. Speech and Thought Presentation

Since the techniques of speech and thought presentation are interwoven intricately with the nine modes of point of view in Simpson's model, they are essential features to investigate in the stylistic analysis of point of view. As only the strands of Narrative Report of Action (NRA), Direct Speech (DS), Free Direct Speech (FDS), Direct Thought (DT), Free Direct Thought (FDT) and Indirect Thought (IT) are relevant to the mini corpus of *The Old Man and the Sea* scrutinised, this section mainly provides a brief review of the above-mentioned modes of speech and thought presentation with examples selected from the mini corpus of *The Old Man and the Sea* as illustrations.

2.5.3.1. Narrative Report of Action (NRA)

The NRA strand provides an external narrative framework around which the modes of speech and thought are woven (Simpson, 1993, p.27). Events and actions are described by an external narrator in the third person, who is an outsider of the story, thus exhibiting external focalization, as the following examples:

and from the way the line slanted he could tell the fish had risen steadily while he swam (1298)

He was past everything now and he sailed the skiff to make his home port as well and as intelligently as he could. (1311)

2.5.3.2. Direct Speech (DS) and Free Direct Speech (FDS)

Direct Speech (DS) is a speech presentation reported verbatim. It is characterised by the presence of an introductory reporting clause and a reported clause enclosed in quotation marks (Simpson, 1993, p.22); for example:

'But man is not made for defeat,' he said. 'A man can be destroyed but not

defeated.’ (1334)

‘I could not fail myself and die on a fish like this,’ he said. (1299)

The above examples are both framed by the unmarked reporting clauses “he said” and signaled by the quotation marks in the form of DS. A DS presentation may be stripped of its reporting clause or its quotation marks to produce a Free Direct Speech (FDS) mode as shown in the following example provided by Simpson (1987, p.211) in his multilayered analysis of an extract from *The Old Man and the Sea*:

“How does it go, hand? Or is it too early to know?”

There is no reporting clause in the above speech presentation, producing a freer form of DS, where it is to a greater degree liberated from the narratorial control of report. It is possible to remove also the quotation marks together with the reporting clause to produce the maximally free form of FDS presentation (Simpson, 1987, p. 208; Simpson, 1993, p. 22), such as changing the above example of FDS to: How does it go, hand? Or is it too early to know?, where the character speaks for himself with little authorial interference. DS is regarded as a base line reference point for other modes as it indicates apparently partial narratorial control of report, and a movement rightwards from the norm as manifest in FDS can be interpreted as a movement away from authorial intervention towards more freedom for a character to talk on his own (Leech and Short, 1981, p. 324, pp.344-345).

2.5.3.3. Direct Thought (DT), Free Direct Thought (FDT) and Indirect Thought (IT)

The presentation of thought is similar to the presentation of speech in terms of the categories available for thought presentation. Nevertheless, as pointed out by Leech and Short (1981, p.337), the representation of thoughts, even in the most indirect form, is just an “artifice” since it requires a greater degree of “novelistic licence” in recapitulating the thoughts of a character than is needed in the presentation of

speech. The following are examples of Direct Thought (DT), Free Direct Thought (FDT) and Indirect Thought (IT):

- (1) 'I should have brought a stone,' You should have brought many things, he thought. **(DT)** (1359-1360)
- (2) I wonder what a bone spur is, he thought. **(FDT)** (1345-1346)
- (3) But if I had, and could have lashed it to an oar butt, what a weapon. **(FDT)** (1368-1373)
- (4) and he thought that now, soon, he must hit the edge of the stream **(IT)** (1297)

In the above examples, example (1) contains an unmarked reporting clause "he thought" enclosed in quotation marks (for the first thought presentation within the same paragraph) and thus can be considered a DT. Example (2) omits the quotation marks yet retains the reporting clause, and thus can be viewed as a moderately free form of FDT. Example (3) is stripped of both the reporting clause and the quotation marks, and thus can be considered the maximally free form of FDT. This is close to the "stream-of-consciousness" technique, signaling an intrusion into the consciousness of the old man, where he is engaged in an interior monologue temporarily. Finally, example (4) has an introductory reporting "that" clause, explicit subordination, and a declarative form for the reported clause, and thus can be classified as the IT mode of thought presentation. Unlike speech presentation, the norm for thought presentation is IT since it allows a writer to commit partially only to the content of what was thought and thus is more acceptable. Since it is impossible to see inside the minds of other people, both DT and FDT modes are viewed as more "artificial" requiring greater interpretative control than the IT mode in the representation of thought (Leech and Short, 1981, pp.344-345).

3. Analysis of the Source Text

This section provides an overall analysis of the deontic, boulomaic and epistemic

modalities, coupled with the mixed modes of point of view revealed in the mini corpus of *The Old Man and the Sea*. The text chosen for study abounds with the deontic and epistemic modal operators, showing on the one hand, the old man's strong sense of obligation and will power to catch the marlin; but on the other, his uncertainty, bewilderment and alienation when faced with successive defeats to hook it and the subsequent attacks of the sharks to tear and eat the whole marlin he eventually kills. What follows is, first, the analysis of the deontic and boulamic modal operators.

3.1. Deontic and Boulomic Modal Operators

The deontic modal operators "must," "will/ would," "can/ could" are used frequently throughout the text studied to highlight the old man's sense of duty to hook the fish and to defend it against the sharks' attacks. The modal operators "must" and "will/ would" are both most frequently used, each with a total of twenty instances; followed by "can/ could," with a total of fourteen instances. The deontic modal expressions "I must," "I will" and "I can/ could" all express subjective and intrinsic deontic modality, revealing the old man's strong degree of commitment to fulfil his mission of hooking the fish; and the deontic source all comes from his own internal compulsion and thus is "intrinsic," manifesting his strong will to control and influence events around him rather than to meet the requirements of an external source. This is particularly prominent in the recurrent use of the modal expression "I must" (mostly found in the early phase of the third day's battle, expressing the old man's strong will to try repeatedly to pull the fish closer towards him before he can successfully do so eventually. Furthermore, between the modal auxiliaries "must" and "will," the former generally communicates a higher value of deontic modality, and thus expressing a stronger sense of duty than the latter. As mentioned above, the stronger deontic modal operator "must" is used more in the early phase of the third day's battle to express the old man's strong commitment to hook the fish. Nevertheless, as he has

encountered successive defeats to do so, he has some moments of doubt; and the deontic modal auxiliary “must” is switched to a series of “will,” as shown in the expressions “I’ll take you” (1316), “I’ll just steer south,” (1317), “I’ll pull him,” (1318), “I’ll try it,” (1319) and “I will try it” (1320) used for stating his intention to try once again to catch the fish. Though the modal “will” generally conveys a weaker degree of obligation and commitment to hook the fish compared to the modal “must,” overall, the two modal auxiliaries express the old man’s sense of duty to fulfill his mission of hooking the fish, though they are used interchangeably to convey different degrees of involvement at different point of the battle, revealing slightly different moods of the old man in his struggle with the fish. Regarding the modal operator “can/ could,” it is used mostly to convey deontic ability, expressing the old man’s self-driven will to control the circumstances. Expressions such as “I cannot fail myself” (1299), “I can control mine,” (1300) and I can last (1302) all represent the old man’s strong will power to overcome his physical limitation to conquer the circumstances.

In addition, it appears that the modal operators “must,” “will/ would” and “can/ could” in the mini corpus studied are used to convey both the deontic and epistemic meanings and some of them have undergone a merger between two possible meanings. For the modal auxiliary “must,” there is one instance – “they must have taken a quarter of him and of the best meat” – (1293) in which “must” is used not to convey deontic duty, but to convey epistemic certainty, describing the old man’s assessment of the situation regarding the portion of the marlin that has been torn by the sharks. As for “will / would,” there are three instances in which the use of the modal auxiliaries “will” – “Then in two or three turns more I will have him” (1315), “I’ll take you at the turn” (1316) and “This time I’ll pull him over” (1318) – can be interpreted as both the old man’s projected self-commands to hook the fish (thus “will” is used in the deontic sense) or his assessments of his probability of hooking the fish (thus “will”

is used in the epistemic sense). Moreover, there are seven instances in which “will” is used mainly to convey epistemic probability, expressing the old man’s judgment of the likelihood of the events occurring, such as the healing effect of water (1322), the coming of more sharks (1325), the coming of night time and the possibility of seeing lights (1328-1329). Finally, there are two instances of “would” that are used to express the old man’s wishes or inclination to buy some luck (1330, 1331). Regarding the use of the modal auxiliary “can / could,” there are four instances in which they can be interpreted as deontic ability or epistemic possibility; for example, the clauses “what can I think of now?” (1304), “He could only use it effectively with one hand because of the grip of the handle” (1305) and “I could have in my time” (1306) can all be interpreted as referring to the old man’s ability to think, to use the oar handle with one hand and to kill the fish in his prime time; or the possibility of all these events occurring. Furthermore, there are four instances in which the modal auxiliaries “can/ could” are used primarily to convey epistemic possibility, expressing the old man’s assessments of the situations regarding the fish’s circling (1298), his possibility of killing the sharks by using a bat with two hands (1307-1308) and his distance from the harbour (1309). Also, the epistemic modal operators “could have” and “surely” used in the sentence – “If I could have used a bat with two hands I could have killed the first one surely” (1307-1308) deserve attention. They are operated in two presupposed clauses governed by the logical condition that the old man could have used a bat with two hands. The use of such epistemic operators, indeed, indicates a very low degree of confidence since they are expressed in the past subjunctive denoting a hypothetical rather than a real situation. The nonharmonic combination of the epistemic modals “could have” with the ironic use of the modal adverb “surely” at the end of the clause serves to qualify further the statement, indicating more the old man’s tentativeness rather than assertion towards the truth of the proposition expressed. It shows that the old man, indeed, is not confident that he can kill the sharks. Last, there are eight clauses

realised by the boulomaic modal operator “wish,” expressing the old man’s wishes that the painful reality of losing his fish did not happen. He repeats three times that he wishes the reality is just a dream and that he has never hooked the fish (1382, 1283, 1388). The old man seems to feel lost and seeks consolation in dreams when faced with the painful reality of losing the fish he eventually hooks.

3.2. Generic Statements

There are altogether three generic statements found in the corpus studied; two of which are expressed in the form of Direct Speech – “A man is never lost at sea” (1332), “ ‘But man is not made for defeat,’ he said. ‘A man can be destroyed but not defeated’ ” (1334), highlighting the heroic quality of man (1332, 1334). They are expressed as timeless universal truths, proclaiming an apparently masculine view on the undefeated nature of man. Finally, the partial generic statement “Luck is a thing that comes in many forms and who can recognize her?” (1333) is worth noticing. It seems that the generic reference expressed in the first half of the sentence “Luck is a thing that comes in many forms” is weakened by the post-posed interrogative statement “and who can recognize her?”, with the modal “can” denoting epistemic possibility, modifying the degree of commitment attaching to the propositional content. This, again, seems to reveal a rather paradoxical world-view of the old man who sees the same thing on two different sides. Indeed, he is not too confident that luck will come to him.

3.3. Epistemic Modal Operators

A variety of epistemic modal devices are used throughout the corpus compiled to express the old man’s uncertainty and bewilderment in battling with the fish and the sharks. The modal auxiliaries most frequently used are “may,” “maybe,” “might have,” “might as well have been” and “should have,” which account for seventeen of the

total of forty-six epistemic modal operators found in the mini corpus studied. Generally they convey epistemic possibility rather than certainty in the old man's assessments of the likelihood of his hooking the fish and defending it from the sharks' attacks. Indeed, he is not too certain that he can successfully catch the fish and defeats the sharks when he has encountered repeated failures to do so. The use of all these tentative modal auxiliaries exhibits the old man's low commitment to the propositions stated regarding his control over the circumstances in battling with the fish and sharks. In his most vulnerable moments, he thinks that the reality is just a dream; and that he can only count on luck to help him and hope that things may turn out well (1362, 1363, 1374-1375). It appears that things are beyond the old man's control and he is helpless in adversity. Other than those mostly frequently occurring modal auxiliaries mentioned-above, there are four instances of the modal auxiliary "will," which are used to convey epistemic possibility regarding the chances of the old man seeing the fish (1336), having luck (1374), other fishermen worrying about him (1364), and being attacked by the sharks again (1379). In the modalized expression "They will probably hit me again" (1379), the modal auxiliary "will" is used in combination with the modal adverb "probably" to weaken further the epistemic commitment attaching to the propositional information, which, indeed, reveals the old man's subconscious fear of being attacked by the sharks again. Other than the use of the modal "will" to convey epistemic possibility, there is one other instance in which "will" is used to convey deontic duty – "But I will try it once more" (1344), expressing the old man's recurrent inclination to try once again to catch the fish despite his repeated failures to do so.

The epistemic possibility conveyed by the use of the modal auxiliaries as listed above is reinforced further by the use of the modal adverb "perhaps" and a range of modal lexical verbs throughout the corpus studied to foreground the old man's

uncertainty, bewilderment and alienation in his struggle with the huge marlin and the sharks. There are five instances of the use of the modal adverb “perhaps” to indicate the old man’s partial detachment from the truth of the propositions expressed – “Perhaps in an hour I will see him” (1355), “perhaps it was a dream” (1347), “Perhaps not....Perhaps I was only better armed” (1348-1349), “and perhaps it is just a noise” (1350) – showing his uncertainty about the situations around him. As for the use of modal lexical verbs, they include “I do not / cannot know” (1342, 1343, 1355), “I wonder” (1345, 1353), “I suppose” (1358); together with the adjectival construction “sure that” found in the modalized expressions “and I am not sure that I believe in it” (1356) and “But I am sure he would have confidence” (1364). All these epistemic modal operators tend to be pre-posed, governing the subsequent propositions stated, and thus qualifying them to express a very low degree of commitment to the truth of the propositional content.

Finally, there is a series of other modalized expressions used in the form of interrogative to highlight further the old man’s self-doubts and confusion in his lowest times of the battle – “But do you think...” (1354), “what he could do to a shark if he were....” (1366), “But if I had, and could have ...” (1368-1369), “What will you do now...if they come in? What can you do?” (1370-1373). The use of the conditionals “if” is prominent in these clauses; and this series of expressions are all represented in the Free Direct Thought mode from the old man’s first-person view, manifesting his most vulnerable moments when he is on the verge of losing the battle by having the sharks eaten the whole marlin he lashes on the boat.

3.4. Modes of Point of View

As revealed from the above analysis, it appears that both positive shading and negative shading modalities scatter evenly across the mini corpus of *The Old Man*

and the Sea compiled. In fact, there are a total of fifty-four instances of positive shading modality, realised by the foregrounding of the deontic and boulomaic modal operators such as “must,” “can/ could,” “will/ would” and “wish” and generic statements, coupled with a total of fifty-seven instances of negative shading modality, realised by the foregrounding of the epistemic modal operators such as “may/maybe,” “might have,” “should have,” “will,” supplemented with generalised “words of estrangement,” like “perhaps,” “I wonder,” “I suppose,” “I am not sure,” “But if I had.” In addition, a closer look at the modality data finds that they interact differently with the variable of the viewing position of the narrator to generate four different modes of point of view, including category B(N)+ve, category B(N)-ve; category B(R)+ve and category B(R)-ve. The narrative chosen for study basically falls into the category B(N) heterodiegetic mode since it is primarily related from a position outside the consciousness of the old man via a non-participating narrator, as realised by the Narrative Report of Action (NRA) and Direct Speech (DS) strands, which interact respectively with the positive shading and the negative shading modalities to form the category B(N)+ve and the category B(N)-ve narratives. Nevertheless, there are many instances that the category B Narratorial (N) mode slips into the category B Reflector (R) mode where events are mediated through the consciousness of the old man who serves as the Reflector in the mode of Free Direct Thought (FDT), which allows us to see and experience things temporarily through his thought and perception. Similarly, the variable of the category B(R) narratives interacts respectively with the positive shading and the negative shading modalities to form the category B(R)+ve and the category B(R)-ve narratives; and transitions among all these four polarities of point of view (category B(N)+ve, category B(N)-ve, category B(R)+ve and category B(R)-ve) are consistently displayed throughout the corpus studied to give rise to mixed modes of point of view. In the following, Table 4.3. provides a brief overview of the four modes of point of view exhibited in the mini

corpus of *The Old Man and the Sea* compiled. It outlines the prominent characteristics of and the list of data found in each category, followed by a brief discussion of the way speech and thought presentation intersected with the polarities of point of view revealed.

Table 4.3. Modes of Point of View Exhibited in the Mini Corpus of *The Old Man and the Sea*

<p>Type of modality</p> <p>Category of narratives</p>	<p>Positive shading modality</p> <p>foregrounding of the deontic, and boulomaic modal operators such as “must,” “can/could,” “will/would” and “wish,” and generics present</p>	<p>Negative shading modality</p> <p>foregrounding of the epistemic modal operators such as “may/maybe,” “might have,” “should have,” “will,” supplemented with generalised “words of estrangement,” such as “perhaps,” “I wonder,” “I suppose,” “I am not sure,” “But if I had.”</p>
<p>Category B narratives (heterodiegetic)</p> <p>Narratorial (N) mode</p>	<p><u>B(N)+ve</u></p> <p>* third-person narrative via a non-participating narrator, offering opinions and judgements</p> <p>* interwoven with DS</p> <p>* examples :</p> <p>sequence (clause no.)</p> <p>5 (1299) 6 (1312)</p> <p>11 (1302) 12 (1314)</p> <p>13 (1315) 15 (1317)</p> <p>16 (1332) 26 (1287)</p> <p>40 (1334) 50 (1383)</p> <p>51 (1384) 73 (1330)</p> <p>total no. of clauses: 12</p>	<p><u>B(N)-ve</u></p> <p>* third-person narrative via a non-participating narrator, creating distancing effect, alienation and bewilderment</p> <p>* interwoven with DS</p> <p>* examples :</p> <p>sequence (clause no.)</p> <p>47 (1350) 48 (1341)</p> <p>49 (1293) 59 (1326)</p> <p>65 (1328-1329)</p> <p>72 (1362)</p> <p>74 (1376-1378)</p> <p>total no. of clauses: 10</p>

	<p>* interwoven with NRA</p> <p>* examples :</p> <p>sequence (clause no.)</p> <p>4 (1298) 61 (1305)</p> <p>68 (1310) 81 (1311)</p> <p>total no. of clauses: 4</p> <p>* interwoven with IT</p> <p>* example:</p> <p>sequence (clause no.)</p> <p>79 (1297)</p> <p>total no. of clauses: 1</p>	<p>* interwoven with IT</p> <p>* example:</p> <p>sequence (clause no.)</p> <p>33 (1347)</p> <p>total no. of clauses: 1</p>
<p>Category B</p> <p>narratives</p> <p>(heterodiegetic)</p> <p>Reflector (R) mode</p>	<p><u>B(R)+ve</u></p> <p>* third-person narrative located within viewing position of character, offering their opinions and judgements</p> <p>* interwoven with FDT</p> <p>* examples :</p> <p>sequence (clause no.)</p> <p>1 (1278)</p> <p>2 (1279-1280)</p> <p>7 (1313) 9 (1281)</p> <p>10 (1300-1301)</p> <p>14 (1316)</p> <p>17 (1282-1284)</p> <p>19 (1318) 20 (1285)</p> <p>21 (1286)</p> <p>25 (1319-1320)</p> <p>27 (1288) 28 (1289)</p> <p>29 (1381) 30 (1321)</p> <p>35 (1290) 39 (1382)</p> <p>42 (1291) 46 (1292)</p> <p>53 (1303) 55 (1304)</p> <p>56 (1294) 57 (1385)</p> <p>60 (1327) 62 (1295)</p> <p>63 (1306) 75 (1296)</p> <p>76 (1333) 77 (1331)</p> <p>78 (1386-1388)</p>	<p><u>B(R)-ve</u></p> <p>* third-person narrative, “estrangement” situated in the mind of character: hence double focalization,</p> <p>* interwoven with FDT</p> <p>* examples :</p> <p>sequence (clause no.)</p> <p>3 (1335-1336)</p> <p>8 (1337-1338)</p> <p>9 18 (1339) 22 (1342)</p> <p>23 (1343-1344)</p> <p>31 (1340)</p> <p>32 (1345-1346)</p> <p>34 (1322)</p> <p>36 (1323-1324)</p> <p>37 (1351-1352)</p> <p>38 (1325)</p> <p>41 (1348-1349)</p> <p>43 (1353)</p> <p>44 (1354-1355)</p> <p>45 (1356-1358)</p> <p>52 (1359-1360)</p> <p>54 (1361) 58 (1363)</p> <p>64 (1307-1308)</p> <p>66 (1309)</p> <p>67 (1364-1365)</p>

	total no. of clauses: 37	69 (1366-1367) 70 (1368-1373) 71 (1374-1375) 79 (1379-1380) total no. of clauses: 46
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It is found that there are altogether twelve clauses of Direct Speech (DS), four of Narrative Report of Action (NRA), one of Indirect Thought (IT) falling into the category B(N)+ve mode; and ten clauses of DS, one of IT falling into the B(N)-ve mode, showing that there are slightly more positive shading modalities than negative shading modalities exhibited in the category B Narratorial (N) mode, in which the narrative is in the third person, and is related via an invisible, non-participating narrator. The DS mode is characterised by the presence of introductory reporting clauses (usually placed in the first clause of every paragraph of speech presentation), and reported clauses enclosed in quotation marks such as clauses 1287, 1302, 1312. The reporting clauses are alternately formed by “he said” and “the old man said.” In addition, the DS in clause 1384 contains some narrative report of action in its reporting clause – “ the old man said after he had checked the lashing on the oar butt.” Overall, it appears that the story of *The Old Man and the Sea* is not entirely told without authorial modality or psychological portraits of characters. Unlike the corpus on the three-day battle of the novel compiled with reference to transitivity in which categorical expressions are dominant, abundance of modalized expressions are found in the narrative of the third day’s battle, revealing the old man’s psychological conflicts in his struggle with the marlin.

In addition, a closer look at the data of Table 4.3. finds that the dominant mode of point of view, indeed, is category B(R)-ve mode, with a total of forty-six clauses, followed by the category B(R)+ve mode, with a total of thirty-seven clauses. Shift of

focalization from the external to the internal mode is manifest merely in the Free Direct Thought (FDT) strand, where the old man has become the Reflector momentarily who tells the story from his first-person view. The thoughts of the old man are presented uniformly in the form of FDT, but not in the maximally free type since it still retains the reporting clause in the first thought presentation within every paragraph of thought presentation as that in speech, even though the reported clauses are all stripped of the quotation marks. The reporting clause is formed alternately by “he thought” and “the old man thought,” except for clause 1319 in which the reporting verb “thought” is changed to “promised.” Nevertheless, there are two instances in which the reporting clauses are removed in the paragraphs of thought presentation to produce the maximally free form of FDT – as shown in clauses 1356-1358 when the old man encounters the shark’s attacks on the marlin, and clauses 1368-1373 when he laments the loss of the marlin. The use of FDT mode signals intrusion into the active mind of the old man. He is allowed to express his sequences of thoughts freely without explicit authorial intervention. Nevertheless, the narrative is not entirely liberated from authorial control since, as observed by Leech and Short (1981), it is impossible to see inside the minds of people, and thus any attempt to recapitulate the thoughts of others is just an “artifice.” This is also true for the speech presentation in the novel since the old man is alone in the sea all the time and there is no one who can listen to him to report his speech verbatim either. Therefore, the use of FDT still exhibits a certain degree of authorial intervention into the active mind of the old man, with events filtered through the voice of the narrator rather than purely through the consciousness of the old man himself.

Finally, it is worth noticing that there are systematic transitions between one polarity of point of view and another throughout the corpus studied. The positive shading modalities occur more in sequences one to thirty-five of the data of events recorded,

which are the time before the old man reaches the climax of catching the fish in the early phase of the third-day's battle; while the negative shading modalities are found more in sequences thirty-six to eighty-one of the data when he has undergone repeated defeats in catching the fish and protecting it from the fierce attacks of the sharks; nevertheless, systematic oscillations between these two types of modality among the four categories of narratives are exhibited throughout the corpus compiled, as revealed in sequences one to twenty of the data illustrated in table 4.4. below:

Table 4.4. Transitions Between the Modes of Point of View Displayed in the Mini Corpus of *The Old Man and the Sea*

Sequence (clause number)	Mode of point of view interwoven with the narrative strand
1 (1278)	B(R)+ve FDT
2 (1279-1280)	B(R)+ve FDT
3 (1335-1336)	B(R)- ve FDT
4 (1298)	B(N)+ve NRA
5 (1299)	B(N)+ve DS
6 (1312)	B(N)+ve DS
7 (1313)	B(R)+ve FDT
8 (1337-1338)	B(R)- ve FDT
9 (1281)	B(R)+ve FDT
10 (1300-1301)	B(R)+ve FDT
11 (1302)	B(N)+ve DS
12 (1314)	B(N)+ve DS
13 (1315)	B(N)+ve DS
14 (1316)	B(R)+ve FDT
15 (1317)	B(N)+ve DS
16 (1332)	B(N)+ve DS
17 (1282-1284)	B(R)+ve FDT
18 (1339)	B(R)- ve FDT
19 (1318)	B(R)+ve FDT
20 (1285)	B(R)+ve FDT

As shown from the above table, each sequence of the data of events signals a

particular viewing position. The first twenty sequences of data analysed progress from the FDT strand, through the NRA to the DS strands, eventually returning to the FDT strand; and there are no less than twelve transitions from one narrative mode to another in the first twenty sequences of the data of events recorded. More interestingly, the DS and FDT thought modes interact in a special way to represent two distinct sides of the old man. As commented by Leech and Short, the use of DS presents the more “physical” and “instinctual” side of the old man by allowing him to express freely his immediate reactions to the world around him, while the use of FDT presents his more “reflective” and “philosophical” side by revealing his introspection on the events happening to him. The two sides carry on a mental dialogue with each other, with his “reflective” side keeping his “physical” side in check, highlighting the intense struggles of the old man in battling with the fish (1981, p. 347).

4. Analysis of the Target Texts

This section looks into the translation of the third day’s battle in *The Old Man and the Sea* as compiled in the mini parallel corpus with regard to the deontic and boulomaic modal operators and generic statements, the epistemic modal operators, the modes of point of view interwoven with the speech and thought presentation, as well as the transitions between the modes of point of view exhibited in the original. Similar to the translation analyses done with reference to the transitivity system in the previous chapter, the categorisation of shifts conducted on the basis of Simpson’s (1993) model of point of view in the present chapter will still focus primarily on overall quantitative analyses regarding the four kinds of adjustment technique (omission, addition, modification and restructuring of the sequences of details as introduced in section 4.2. of the preceding chapter) used by the four translators in rendering specific linguistic features of the model of point of view studied rather than very

in-depth investigations of their individual choices made in particular cases. What follows is first, the analysis of the translation of the deontic and boulomaic modal operators and generic statements.

4.1. Translation of the Deontic and Boulomaic Modal Operators and Generic Statements

Overall, most of the deontic and boulomaic modal operators and the three generic statements are preserved in all four Chinese versions according to the original, though noticeable adjustments of some of the modal operators are still found in the versions by Hai, Li and Zhao, which are manifest in different forms and to different degrees as those displayed in the rendering of the five process types of the transitivity model. Li still appears to make the most adjustments in the translation of the deontic and boulomaic modal operators, with a total of twenty-three instances, followed by Zhao, a total of fifteen instances; and Hai, a total of twelve instances. Wu appears to be the most faithful to the original, with only one instance of adjustment made. Table 4.5. below first provides a list of the translations of the deontic and boulomaic modal operators found in the four versions to show how they are generally rendered. It is then followed by Table 4.6., outlining the frequencies of the four kinds of adjustment made in the translation of the deontic and boulomaic modal operators in the four translations.⁴⁵ Subsequent to the presentation of statistics is an overall description of the shifts uncovered in the four Chinese translations.

⁴⁵ The frequency list of Table 4.6. is compiled on the basis of the comprehensive lists of the shifts categorised in the four Chinese translations of the third day's battle in *The Old Man and the Sea* (with back translations provided as support). They are attached in Appendix B.2. on the CD-ROM with the thesis for further reference.

Table 4.5. The Four Chinese Translations of the Deontic and Boulomaic Modal Operators Found in the Mini Corpus of *The Old Man and the Sea* Studied

must / mustn't	一定, 必須, 得, 可不能, 該, 決不要, 就
can / could	可以, 能, 得, 必須, 該, 會, 準能, 準
will / would	要, 會, 還得, 就要, 就能, 就得, 就是, 就成, 還要
wish	想, 但願, 真希望, 情願, 真盼望, 最好, 還不如, 倒情願, 渴望, 巴不得

Table 4.6. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Deontic and Boulomaic Modal Operators

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	0	1	6	0
Addition	1	0	1	7
Modification	1	0	14	6
Restructuring of the sequences of details	10	0	2	2
Total frequency	12	1	23	15

As shown in Table 4.5. above, most of the deontic and boulomaic modal operators are translated into their similar counterparts over the four translations. It is noteworthy that the deontic modal “will” in clause 1315 is interpreted differently among the four translators – Hai translates it into “要” to convey the deontic meaning of duty; while Wu and Li both translate it into “就能” and Zhao into “就” to convey the epistemic meaning of probability. Likewise, the deontic modal “will” in clause 1318 is interpreted differently by Hai and Zhao – Hai translates it into “會” to convey the

epistemic meaning of probability, Wu and Li simply omit it, whereas Zhao translates it into “要” to convey the deontic meaning of duty. The different interpretations of the modal “will” among the four translations investigated seem to confirm the notion of the overlap between deontic and epistemic modalities as mentioned in section 2.3.; the same modal can often be used to convey both deontic and epistemic meanings.

Regarding the adjustments made in the translation of the deontic and boulomaic modal operators in the four translations, as revealed in Table 4.6., Wu makes the least adjustments in the rendering of the deontic and boulomaic modal operators, with only one omission of the deontic modal “应” found in expressing the old man’s attempt to pull the fish over to him again (1318). Next to Wu is Hai, with one addition, one modification and ten restructurings of the sequences of details made. Regarding addition, there is one instance of the conjunction “but” and the particle “a” – “可是啊,” coupled with a repetition of the verb “撑” associated with the modal auxiliary “must” – “可是啊,你不撑也得撑” (1302) added to emphasise the old man’s deontic duty to endure the battle with the fish. As for modification, there is one noticeable instance of changing the reporting clause “the old man promised” in a Free Direct Thought presentation to “但他又下了决心:” (1319-1320), highlighting the old man’s strong determination to try catching the fish once again. The recreation of the colon “:” in the presentation of the old man’s thought signals greater authorial intrusion into the old man’s consciousness by indicating the presence of the narrator as it is commonly used in reporting speech in Chinese discourse. Furthermore, there are ten restructurings of the sequences of details, which are all contributed by fronting the reporting clauses “he thought” and translating them either as “他想:” (a total of eight out of the ten instances) or “他想,” (a total of two out of the ten instances) at the beginning of every thought presentation. Similarly, the extensive use of a colon after the reporting clause signals the presence of an omniscient narrator in the thought

presentation, which is not found in the original reporting clause of the FDT presentation. Overall, Hai's rendering of the reporting clauses of the FDT presentation is worthy of attention since it is unique among the four translations examined.

As for Li's translation of the deontic and boulomaic modal operators, there are six omissions, one addition, fourteen modifications and two restructurings of the sequences of details recorded, accounting for a total of twenty-three instances, which are the most adjustments found among the four versions studied. As for omissions, they include three instances of the deontic modal operators "must" (1280), "mustn't" (1283) and " 'll " (1318); two instances of the circumstance of manner – "like this" (1299) and "effectively" (1305); and one instance of the temporal deixis – "now" (1325). As for addition, the colloquial expression "等著瞧還來什麼傢伙" (1294) (meaning waiting to see what jerks are coming) is added to the original "wait for the next ones" in the description of the old man waiting for the next sharks to attack the fish. Regarding the fourteen modifications made, two of which concern the modal auxiliaries "must" (1291, 1292); one concerns the modal auxiliary "will" – changing "But I will try it" to "我就不客氣" (1327, meaning I will not be friendly); and one is the modification of the boulomaic modal operator "wish" – changing "I wish I had a stone for the knife" to "需要一塊磨刀石" (1384), expressing that the old man needs a stone for the knife. Furthermore, there are three modifications of the reporting clauses – changing the reporting clauses "he thought" to "他盤算好：" (1295, meaning he calculated well); "he thought that" in an IT (Indirect Thought) to the FDT "他想：" (1297, recreating a colon after the reporting clause); "the old man promised" to "老人暗下決心" (1320, meaning the old man was determined secretly). Also, Li seems to have a preference for rhetorical questions. There are two noticeable instances of changing the original statements from declarative to interrogative, one of which is changing "If I could have used a bat with

two hands I could have killed the first one surely. Even now,” to “要是我雙手使棍，第一條肯定性命難保。誰笑我老了不中用了？” (1307-1308, meaning if I could have used a stick with two hands, the first shark definitely could have been killed. Who tease me for being old and feeble?) The rhetorical question “誰笑我老了不中用了？” emphasising the old man’s existing vigour is a creation that is not found in the original. Another instance of a creation of rhetorical question is found in clause 1292 in which “I must not deceive myself too much” is changed to “何苦自欺欺人？”，highlighting the old man’s affirmation not to deceive himself and others. Furthermore, the remaining five modifications are all made to concrete details of description regarding the part of the fish the shark tears (1293), the old man’s recall of his past accomplishment (1306), the healing effect of the salt water (1322), the way the old man puts the fish in the skiff (1323-1324), and the lights the old man wishes to see (1386-1388). Last, there are two restructurings of the sequences of details which appear to be creations of a marked syntactic structure in Chinese that are not attributed to the original; for example, the originally unmarked structure as it could be expressed as “(1)我現在(2)想些什麼好呢？”in the translation of clause 1304 is rendered specially into a marked structure by Li as “(2)我想些什麼好呢？(1)現在，”；and “(1)人總不會在(2)海上迷路的，(3)何況島是長長的一條” as it could be rendered in the translation of clause 1332 is translated deliberately as “(2)海上，(1)人總不會迷路的，(3)何況島是長長的一條，” emphasising respectively “the present moment” when the old man is thinking and “the sea” in which a man is never lost. Such creations of a marked syntactic structure produce special stylistic effects that are not found in the original.

Regarding Zhao’s translation, there are seven additions, six modifications and two restructurings of the sequences of details found. As for the seven additions made, they all appear to be minor details as logical presuppositions made explicit on the basis of the given information in the original to reproduce expanded descriptions; for

example, adding the repetition “我決不要自己瞞自己” (1292, meaning I should not deceive myself) to “I must not deceive myself too much” to highlight the old man’s deontic sense that he should not deceive himself too much; adding the colloquial expression “一撥兒” (1294, meaning the next batch of sharks) to “wait for the next ones”; adding “為了打這麼一條魚” (1299, meaning for hitting this fish) to “die on a fish like this”; adding “船上” (1303) to make explicit that the old man is thinking what he can do in the boat; adding the concrete detail “伸出去” (1332, meaning stretching out) to emphasise “a long island”; adding the minor detail “到手的” (1381, meaning in my hand) to “He is my fortune”; and adding the temporal deixis “當時” (1385, meaning at that point) to “I wish it had really been a dream.” As for the six modifications, four of which are made to the reporting clauses of the FDT presentation, such as changing “he thought” to “他心裏在說” (1291, meaning he was saying in his heart), “他心裏說” (1296, meaning he said in his heart), “他估計” (1297, meaning he estimated), and “他心裏在問” (1304, meaning he was asking in his heart). Overall, Zhao appears to be more creative than the other translators in rendering the reporting clauses “he thought” into varied descriptions of the old man’s “saying,” “estimating” and “asking” to himself instead of just merely “thinking” as that described in the original. Another creative rendering of Zhao’s translation is found in his translation of the deontic modalized expressions contained in the DS presentation– “He’ll be up soon and I can last. You have to last. Don’t even speak of it” (1302), which are rendered as “它快上來了,我撐得住。哼,你就得撐著,這還用說!” The interjection “哼” (pronounced as “heng”) is added to the original, giving the old man’s expression a lively tone, and an exclamation mark “!” is added to produce emphasis at the end of the creation “這還用說!”, highlighting the old man’s self-esteem and confidence in his ability to last and to endure the tiring battle with the fish. Moreover, there is a minor adjustment made in the description of the old man’s sailing the skiff – “and he sailed the skiff to make his home port as well and as intelligently as he could” (1311), in which the circumstance of

manner “as well and as intelligently as he could to” is changed to “駕得盡量穩當，盡量用心，” depicting that the old man sails the skiff steadily and attentively, showing once again a more flexible rendering of the original diction “well” and “intelligently.”

Finally, there are two instances of the restructuring of the sequences of details found in Zhao’s translation of the deontic modals; one of which is in the modalized expression “Now I must prepare the nooses and the rope” (1288), in which the original order of “the nooses” and “the rope” is reversed as “繩子跟活套，” showing a slight adjustment of the original sequence of details. Another more noticeable instance is found in the restructuring of the unmarked syntactic structure as it could be normally expressed in Chinese – (1)因為槳把子上有個把手，(2)要一隻手拿著才好使” into a marked structure in the translation “(2)要一隻手拿著才好使，(1)因為槳把子上有個把手” (1305). In Chinese, the conjunction “因為” regarding the cause is normally put before “所以” regarding the result in the conjunctions linking clause; yet in this example Zhao deliberately follows the original sequence of events and presents the result “要一隻手拿著才好使” (He could only use it effectively with one hand) before the cause “因為槳把子上有個把手(because of the grip of the handle), reproducing a marked syntactic structure that appears to be influenced by the original. Such a way of recreating a marked syntactic structure is displayed similarly in Li’s rendering of clauses 1304 and 1332 as explained above. On the whole, Li and Zhao appear to be more flexible and creative in reordering the original sequences of events compared to Hai and Wu.

4.2. Translation of the Epistemic Modal Operators

Generally, most of the epistemic modal operators are retained in the four translations with only minor adjustments made by Hai and Zhao, while obvious shifts are still found in Li’s version. Wu’s translation is still the most faithful to the original with no

obvious shifts uncovered. There are totally seven, eleven and four instances of the four kinds of adjustment found respectively in the versions of Hai, Li and Zhao in the translation of the epistemic modal operators, which are all relatively less than those found in the translation of the deontic and boulomaic modal operators. Table 4.7. below. first provides a list of the translations of the major epistemic modal operators identified in the four Chinese translations to show how they are generally rendered. It is then followed by Table 4.8., which outlines the frequencies of the four kinds of adjustment made in the translation of the epistemic modal operators in the four versions. As in the previous section, following the presentation of statistics is an overall description of the findings uncovered.

Table 4.7. The Four Chinese Translations of the Major Epistemic Modal Operators Found in the Mini Corpus of *The Old Man and the Sea* Studied

perhaps	說不定，也許可能，沒準兒，怕也未必，或許
may	就會，也許會，該是，還可，會，也許，還會，倒可以
maybe	也許，作興，或許，沒準兒，說不定
will	就會，就能，就，會，還要，要，也會
I wonder	我不懂，不知道，不明白，我不曉得
I suppose	我猜想，我看，我想
should have	應該，原該，總該，也會
might have	也許，也許，說不定，那也可能
I do not know	我摸不透，我弄不懂，我不知道，真不知道
I cannot know	我可沒法知道，我沒法知道，我沒法兒知道

Table 4.8. Frequencies of the Four Kinds of Adjustment (Omission, Addition, Modification and Restructuring of the Sequences of Details) Made in the Four Translations of the Epistemic Modal Operators

Translation strategy / frequency	Hai	Wu	Li	Zhao
Omission	0	0	1	1
Addition	2	0	1	2
Modification	0	0	9	0
Restructuring of the sequences of details	5	0	0	1
Total frequency	7	0	11	4

As shown in Table 4.7 above, most of the epistemic modal operators are rendered into their similar counterparts according to the original over the four translations. In Hai's translation of the epistemic modal operators, there are slight adjustments made in the form of addition (a total of two instances), and restructuring of the sequences of details (a total of five instances), which are all contributed by the fronting of the reporting clauses "he thought" or "the old man thought." As for addition, a reporting clause "他想：" is specially added to the FDT presentation – "I do not know. But I will try it once more" (1343-1344), while in the original the reporting clause "the old man thought" occurs only once at the beginning of the FDT presentation. Moreover, a slight addition is made by adding the expression "話又說回來" (meaning in retrospect) to the past subjunctive "But if I had, and could have lashed it to an oar butt, what a weapon" (1368-1369) to highlight the old man's projected view on his possibility of lashing the shark to an oar butt. As for the five restructurings of the sequences of details, four of which are made by fronting the reporting clause "he thought" and translating it as "他想：" at the beginning of the FDT presentation, while one is contributed by fronting the reporting clause "the old man thought" and translating it as "老頭兒想：". By fronting the reporting clause and adding a colon after it in every FDT presentation, Hai puts extra emphasis on the voice of the narrator in reporting the old man's thoughts. Such a way of rendering the reporting clauses of the FDT presentation is found consistently throughout the corpus studied in Hai's version of

the epistemic modal operators as well as that of the denotic and boulomaic modals as explained in section 4.1. above.

As for Li's version, there are one omission, one addition, and nine modifications found, accounting for a total of eleven shifts made, showing that he has consistently made the most changes among the four translations investigated. For omission, the modal lexical verb "I cannot know" (1355) regarding the old man's own response to his self-question of whether his hands are as great a handicap as the bone spurs is omitted. Moreover, the circumstance of manner "暗自" is added to the reporting clause of the DS – "What could I buy it with? He asked himself" (1376) to emphasise that the old man asks himself secretly. As for the nine modifications, three of which are made to the epistemic modal auxiliaries "may" (1337, 1362) and "should have" (1359). The epistemic modal "may" in "It may make him jump through" (1337) is changed to "它該是要跳的呀" (meaning it should jump), shifting the low value of possibility conveyed by "may" in the original to the high value of certainty expressed by the modal auxiliary "該是"; and another "may" in "you may have much luck yet" (1362) is changed to "你會交上好運的" (meaning you will have luck), thus similarly enhancing the value of possibility conveyed by "may" in the original to the value of probability conveyed by "會" in the translation. Moreover, the epistemic modal "should have" in "I should have brought a stone" (1359) is changed to "我帶一塊來就好" (meaning it would be good if I brought one), weakening the deontic sense of duty conveyed by the original deontic modal "should have." In addition, the modal lexical verb "I wonder" contained in the FDT clause "I wonder how the great DiMaggio would have liked the way I hit him in the brain" (1353) is changed to the subjunctive "如果迪馬齊奧見我一叉擊中它腦門,不知該多麼高興?" in the form of an interrogative to denote the hypothetical situation that DiMaggio would be happy to see the old man hit the fish's brain. The rhetorical question "不知該多麼高興?" (meaning how he would have liked it) is a creation that

is not found in the original. Other than the modification of epistemic modals, there are two noticeable alterations of reporting clauses; one of which is changing the reporting clause “he had thought” contained in the IT clause “he had thought perhaps it was a dream” (1347) to “心裏就想過：”, shifting the original IT presentation to one of FDT by signaling the reporting clause with a colon, expressing the old man’s thought – “也許這只是個夢”(meaning perhaps it is a dream) in the first person from his own view. Another instance is found in the rendering of the reporting clause in the FDT presentation “and what he could do to a shark if he were swimming free. I should have chopped the bill off to fight them with, he thought” (1366-1367), in which the reporting clause “he thought” is fronted at the beginning of the FDT presentation and rendered specially as “他總想著大魚：” (meaning he kept thinking of the fish) with a colon after which to signal the presence of the narrator. Moreover, the subsequent detail regarding the old man who chops the shark’s bill in fighting with it is slightly modified as “我可以把它的劍吻砍下來當作武器” (meaning I should have chopped the bill off and used it as weapon). The remaining three modifications are all minor adjustments made to the concrete details about the old man’s feeding many people (1358), his confidence that the boy will worry about him (1364), the addition of “斧子” (meaning an axe) and the vocative expressive “老頭兒” (meaning old man) coupled with the change of the image “what a weapon” to “該是多好的一枝矛呀！” (meaning what a good spear it is!) in an exclamative clause (1368-1373) which describes the old man’s lament for the loss of the fish in his lowest tide.

Regarding Zhao’s translation of the epistemic modal operators, only slight adjustments are made, including one omission, two additions and one restructuring of the sequence of details. For omission, the epistemic modal lexical verb “I am sure” in “But I am sure he would have confidence” (1364) is omitted, presenting the proposition more like a categorical assertion than a modalized expression as used in

the original – “不過他一定會有信心。上點兒歲數的漁民,有好些會著急。” For the two additions, they are both further details added on the basis of the given information to explicate the contexts of events, such as adding “我撐不撐得下去” to “I do not know,” (1342) to make clear that the old man does not know whether he can last or not; and adding the adverb “本來” (1378, meaning originally) to emphasise that the old man might originally have bought luck. Last, there is a restructuring of the sequences of events regarding the old man’s doubt about whether the great DiMaggio would have liked the way he hit the shark’s brain; the detail “would have liked the way,” translated as “喜不喜歡?” (1353), is placed specially at the end of the clause for emphasis, showing a more flexible rendering of the original sequences of events.

4.3. Translation of the Modes of Point of View Interwoven with the Speech and Thought Presentation

In view of the above analyses of the translation of various modal operators, overall, except for the more noticeable adjustments made by Li throughout the corpus studied, the changes made to the deontic and boulomaic modal operators are considered light in the translations by Hai, Wu and Zhao, and even fewer to the epistemic modal operators. In Hai’s translation, there are a total of fifteen out of the nineteen adjustments which are contributed by the special fronting of the reporting clauses “he thought” and translating them consistently as “他想:” or “他想,”. Wu’s translation is the most literal and faithful, with only one omission of the deontic modal “’ll” found. As for Zhao’s version, there are nine out of the nineteen adjustments that are contributed mostly by the slight additions of concrete details of description on the basis of the inferences drawn from the given facts to explicate the specific contexts of events. Except for an obvious omission of the epistemic modal expression “I am sure,” the other changes made in Zhao’s translation are mostly modifications of the reporting clauses “he thought” into varied expressions such as “他心裏說” and “他估

計” (a total of four out of the six modifications) and restructurings of the sequences of details (a total of three instances) to create special stylistic effects that are not contributed by the original. In light of the overall mild adjustments made to the deontic, boulomaic and epistemic modal operators in Hai's, Wu's and Zhao's translations, it appears that the mixed positive shading modality realised by the foregrounding of the deontic and boulomaic modal operators and generics, and the negative shading modality realised by the foregrounding of the epistemic modal operators are basically preserved in the three translations though minor adjustments are still found in each of them, reproducing a similarly paradoxical worldview of the old man according to the original. Nevertheless, a closer look at the few alterations made by Hai and Zhao in the translation of the deontic modal operators finds that they both seem to have a tendency to enhance the degree of positive shading modality by using stronger modalized expressions to highlight the old man's deontic duty and ability to endure the battle with the fish; for example, Hai creates a stronger modalized expression “可是啊,你不撐也得撐” (1302 meaning but you must last even you can't) and creates a special reporting clause “但他又下了決心：我還要試它一試” (1319, meaning but he was determined: I'll try it again) to distinguish the old man's strong will to endure the battle with the fish. As for Zhao, there is a remarkable instance that he creates an interjection “哼” (pronounced as “heng”) and changes the old man's self- command in the form of an imperative “Don't even speak of it” to an exclamative clause “這還用說！” (1302, meaning needless to say), similarly highlighting the old man's self-esteem and ability to last in the battle.

As for Li's version, there are a few prominent changes made to the deontic modals by omitting the modal auxiliaries “must” (1280), “mustn't” (1283, 1292) and “'ll” (1318, 1319-1320), or changing the modals “must” to “我不願” (1291, meaning I don't want to) and “should have” to “就好” (1359-1360, meaning would be good) in expressing the old man's

denotic duty to fight with the fish. These modifications seem to put less emphasis on the strong sense of duty conveyed by the original deontic modals; nevertheless, there are three remarkable instances in which very strong expressions such as “想當年,這根本不在話下” (1306, meaning in my time, this could be done very easily), “誰笑我老了不中用了?” (1307-1308, meaning who tease me for being old and feeble?), and “老人暗下決心” (1319-1320, meaning the old man was determined secretly) are used respectively to distinguish the old man’s past accomplishments in fishing, his existing vigour in old age and his determination to try once again to catch the fish. As for the translation of epistemic modals, there are two instances in which the low value of epistemic possibility conveyed by “may” in the original is enhanced to the median value of epistemic probability expressed by “該是” (1337, meaning should) and “會” (1362, meaning will), which appear to convey a stronger degree of confidence in the old man’s assessments of the situations. All in all, it is hard to conclude whether the positive shading and the negative shading modalities depicted in the original are generally enhanced or weakened in Li’s version since examples of shifts supporting both views can be found. Yet conspicuous adjustments are made in Li’s translation of the deontic, boulomaic and epistemic modal operators, with a total of thirty-four instances, which are significantly greater than the total numbers of adjustments found in the versions of Hai, Wu and Zhao, respectively with a total of nineteen, one and nineteen instances.

Regarding the translation of the speech and thought presentation interwoven with the modes of point of view, it appears that the strands of NRA, DS and FDT are generally rendered faithfully in the four translations, except for the special fronting of the reporting clause “he thought” or “the old man thought” and the addition of a colon after it to form the reporting clause “他想:” or “老頭兒想:” in Hai’s translation (with a total of fifteen instances, two of which are formed by a comma rather than a colon

after each), and the recreation of the reporting clauses into varied interesting expressions in Li's translation such as “他盤算好：”, “他總想著大魚：” and in Zhao's translation such as “他心裏在說,” “他心裏說,” “他估計,” and “他心裏在問.” It appears that the reporting clauses of the FDT presentation have been a subject of interest in the translations by Hai, Li and Zhao, who make noticeable modifications to them. The special use of colon after the reporting clause in Hai's version and a few similar instances in Li's highlights more strongly than the original the presence of the narrator in FDT. Furthermore, there are two peculiar instances in which the IT mode in Li's translation is changed to FDT by recreating the reporting clauses “and he thought that” to “他想：” (1297), and “he had thought” to “心裏就想過：” (1347), presenting the old man's thoughts from his own first-person view rather than from a third-person view via an external narrator in the form of IT as that appears in the original.

4.4. Translation of the Transitions between the Modes of Point of View

Regarding the transitions from one mode of point of view to another as illustrated in Table 4.4. in section 3.4. above, they are generally preserved faithfully in the four translations, except for a few instances in which the positive shading modality or the negative shading modality as represented in the original seems to be shifted to the neutral shading modality by the omission of the denotic modals or the epistemic modal operators, as in Wu's version – omitting “I” in the translation of “This time I'll pull him over” as “這一回我把它拉過來” (1318); in Li's version – omitting “must” in the translation of “I must kill him” as “最後殺死它” (1280), omitting “mustn't” in the translation of “I mustn't try for the head” as “我不刺它的頭” (1283), omitting “I” in the translation of “This time I'll pull him over” as “這一回我把它拽過來” (1318) and in the translation of “I'll try it again” as “我再試一次” (1319); and in Zhao's version – omitting “I am sure” in the translation of “But I am sure he would have confidence” as “不過他一

定會有信心”(1364). All these omissions in the translations shift the original modalized expressions to categorical assertions, seeming to express a stronger degree of confidence in the truth of the propositions stated than that expressed in the original.

5. Concluding Remarks: Overall Individual Patterns of Choice of the Four Target Texts

In view of the linguistic findings of the translations shifts gathered in the corpus-based studies with regard to transitivity and modality conducted in the previous and the present chapters, it is clear that Li has consistently made the most adjustments whereas Wu the least in the translation of all kinds of linguistic features investigated. The most prominent strategies Li uses are still omission and modification. Other than the special rendering of the reporting clauses of the FDT presentation found in Hai's translation, overall, his modifications of the original can be considered slight. Zhao is still particularly outstanding in the use of addition and restructuring of the sequences of details. These overall individual patterns of linguistic behaviour of the four translators correspond to the ones identified in the previous chapter concerning the translation of the transitivity system, thus supporting the reliability of the data collected.

As a conclusion, though obvious shifts occur in all four translations and they exhibit their own distinctive features, generally they still fall within the boundary of the original in replicating it quite closely; for example, the five process types, especially the dominant material processes or “actional framework” are basically preserved, even in Li's translation, though they are manifested in different forms. In fact, proportional to the large number of material processes (a total of 711 instances) found in the original, overall the adjustments made in the translations by Hai, Wu and

Zhao can be considered light, except for the more significant changes by Li. Most of the modifications focus on the “processes,” or the participant roles associated with them in all the five process types investigated. They are more concrete and objective rather than abstract and evaluative. Moreover, the mixed positive shading modality and the negative shading modality realised by the various types of modal operators are generally retained, representing a similarly paradoxical worldview of the old man. In addition, the NRA, the DS and the FDT presentation, together with the transitions from one mode of point of view to another resemble those of the original, except for the special handling of the reporting clauses by Hai, a few instances of shifting the positive shading modality or the negative shading modality to the neutral shading modality by Wu and Li, and interesting creations of new stylistic features by Li and Zhao. All in all, perhaps Yang Renjing (1990) is appropriate to comment that Hemingway is a popular writer favourably received in China ever since he was introduced in 1929. Hemingway’s code of a “hardened man” finds a resonant echo in the hearts of Chinese readers. They accept with ease his concise, vivid, concrete and oblique style of description (pp. 199-200). Even the stream-of-consciousness technique, realised through the FDT mode in his works, displays no sophisticated dislocation of time and place as does that of Joyce or Faulkner. There are no heavy allusions, philosophical discussions or culturally embedded elements to deal with in translating the novella. All these may explain why most of the source-text features are basically retained in all four translations, though they still manifest their unique flavours and characteristics.

Chapter Five

Critical Analysis of Individual Examples

1. Introduction

After conducting two corpus-based studies by which I successfully identified the four translators' individual linguistic habits realised in the translation of the transitivity system and modes of point of view, I now focus on selecting individual examples from *The Old Man and the Sea* and situating them within their cotext and context for close critical analysis, which is more qualitative and sporadic in nature. The examples investigated belong to individual isolated instances that may not form striking tendencies, yet are salient features that display stylistic significance through a comparison with the typical features uncovered in corpus analysis, or through a comparison of the four versions which reveals remarkable differences among them in the rendering of specific lexical items. The findings gathered, therefore, complement the basically quantitative data derived from the corpus tool. The chapter consists of two case studies; the first one examines a passage of sixty sentences from the third day's battle in the novella. Specifically, the study compares the linguistic choices made by the four translators in the translation of speech and thought presentation (section 2.2.), modal expressions (section 2.3.), material processes (section 2.4.) and circumstantial elements (section 2.5.). The second case study (sections 3.1 to 3.4.) explores the use of lexis by the four translators. It outlines a list of scattered examples from the two corpora compiled before which exhibit the four translators' individual styles in the rendering of diction. Last, in the concluding section, I will provide a brief summary of a repertoire of linguistic features of the four translators revealed in the two case studies done in the present chapter.

2. Case Study One : Critical Analysis of the Translation of a Passage from *The Old Man and the Sea*

2.1. Background of the Episode

The passage chosen for the case study is taken from the final section of the novella, where the old man battles with the marlin. The episode occurs early in the morning of the third day's battle. The fish has circled many times before the old man is eventually able to pull it closer towards him to drive his harpoon into it to kill it. Every time when the fish circles, the old man almost succeeds in catching it, yet time and again it rights itself and swims away slowly. The entanglement between the old man and the fish lasts for two hours until it climaxes in the old man killing the fish. The plot centers around the repeated circling yet righting away of the fish from the old man, and the repeated attempts of the old man to pull it closer towards him to hook it. It is recorded three times that the fish is circling and turns a little on its side, three times that it rights itself and swims slowly away, and eight times that the old man pulls the fish with all his strength and tries to pull it again despite his successive failures to do so. Every event of the battle is depicted delicately in some variation, and on some occasions, the same event is repeatedly described from two perspectives, producing intensity in the narration. The most prominent examples are found in sentences fifty-two to fifty-eight⁴⁶, in which the old man is pictured as trying once again to pull the fish towards him. The fact that he intends to pull the fish once again is first expressed in the first person in the form of Free Direct Thought (FDT) in sentence fifty-two – “But I will try it once more,” which is immediately echoed by the external narrator in the form of Narrative Report of Action (NRA) in sentence fifty-three – “He tried it once more...” for emphasis. A similar pattern of repetition in the presentation of the old man's repeated attempts to catch the fish from two perspectives is found

⁴⁶ The passage of sixty sentences from *The Old Man and the Sea* and its four translations chosen for study in Case Study One are attached in Appendix C on the CD-ROM with the thesis for reference.

respectively in sentences fifty-five and fifty-seven, in which the old man's direct utterances – “I'll try it again” (sentence fifty-five), “I will try it once again” (sentence fifty-seven) are immediately echoed by the external narrator in the subsequent sentences – “He tried it again and it was the same” (sentence fifty-six), “He took all his pain...” (sentence fifty-eight). Indeed, from sentences fifty-two to fifty-eight, the old man has in fact tried three more times to pull the fish closer towards him to hook it, and every trial is alternately expressed first in the form of FDT and subsequently echoed in the form of NRA. The systematic transitions from the FDT mode into the NRA mode signal narratorial intrusion into the consciousness of the old man, revealing the narrator's attempts to recapitulate the old man's thoughts from the latter's perspective, highlighting his intense struggles to overcome his physical fatigue in battling with the fish.

2.2. Translation of Speech and Thought Presentation

In rendering Direct Speech (DS), Hai follows closely the original in reproducing the reporting clauses alternately as “他說” and “老頭兒說” with the quotation marks retained in the reported clauses. However, in the translation of (FDT), there are marked differences between Hai's translation and the original and the other three versions. Firstly, most of the reporting clauses are translated as “他想:” and moved to the front of every FDT presentation, while in the original the reporting clauses are generally placed at the end of the thought presentation. By fronting the reporting clause and adding in a colon after it, Hai distinguishes the voice of the narrator, showing stronger authorial intervention into the active mind of the old man than that of the original and the other three translations. In some cases, it seems as if the narrator also takes part in giving commands to the old man. For example, Hai translates sentences three to five as “他想:可是我應該使它來得近些,近些,更近些。切不要戳它的頭。應該扎它的心。” Hai's translation is characterised by a strong

imperative tone. The subject “I” is omitted in both sentences 4 and 5, and both sentences begin with two modal verbs – “切不要” and “應該,” expressing the old man’s self commands more directly and forcefully. Furthermore, by omitting the subject “I” and adding in a colon after the reporting clause, Hai signals the presence of the omniscient narrator in expressing the old man’s self-commands to hook the fish, and it appears as if the narrator also takes part in commanding the old man.

Secondly, Hai’s rendering of the thought presentation is characterised prominently by a strong imperative tone. Another example is found in his translation of sentence twenty-three. In the original, a series of imperatives is used in sentences nineteen to twenty-three to express the old man’s self-commands to his body parts to hold up in pulling the fish towards him despite his physical exhaustion. Hai renders the series of imperatives vividly as the original. Yet he translates sentence twenty-three specially as “決不要昏過去,” expressing the old man’s self-command not to faint; while in the original – “you never went” – is represented more as a declarative, stating the fact that the old man has never failed before rather than commanding himself not to faint as that represented by Hai. Similar to sentences four and five, the subject “you” is omitted, expressing the old man’s self-command more directly and forcefully.

Thirdly, in rendering the thought presentation, there are many instances showing Hai’s own creations to produce very different effects from the original. For example, he combines sentences thirty-three to thirty-four and translates the FDT into “他又自然自語地說：不過，你呀，你是永遠不會垮的,” while the original is “Yes you are, he told himself, you’re good for ever.” The reporting clause “he told himself” is created by adding the circumstance of manner as “他又自然自語地說：” and moved to the front, with a colon added after it to signal speech. By doing so, the original FDT is changed to FDS, allowing the old man to talk freely on his own. Furthermore, the adversative

conjunction “不過” and the particle “呀” are added between the two sentences of speech to assure the old man himself of his own strength to stand for many more turns. The rendition “你是永遠不會垮的” highlights the heroic image of the old man, representing him as a tough fighter who will never be defeated. The expression “你是永遠不會垮的” used to depict the hardboiled character of the old man is much stronger than the general adjective denoting the quality attribute of the relational process “You’re good” used in the original.

Another example showing Hai’s recreation of FDT is found in sentence fifty-five, in which he restructures the original sequences of events “(1) I’ll try it again, (2) the old man promised, (3) although his hands were mushy now and he could only see well in flashes” into “(3)這時老頭兒雖然雙手已經軟弱無力，而他所能看見的只是一眨眼就過去的閃光，(2)但他又下了決心：(1)我還要試它一試。” Hai first depicts that the old man’s hands are mushy and he can only see the flashes that vanish quickly, but he is still determined to try once again to hook the fish, thus putting more emphasis on the old man’s determination to try to catch the fish again at the end of the sentence; while in the original, the events are presented in a reversed order, laying more emphasis on the physical fatigue of the old man. In addition, the original reporting clause “the old man promised” is transposed as “但他又下了決心，” conveying a much stronger tone than the original in spotlighting the old man’s strong will to try to hook the fish again. A colon is also added after the reporting clause to signal the presence of the omniscient narrator. By restructuring the original sequences of events and modifying the reporting clause of the FDT presentation in a special way, Hai pictures the old man as determined and unyielding in the face of successive defeats.

One more example showing Hai’s special rendering of thought presentation is found in sentence fifty-seven. In translating this sentence, unlike his general approach to

fronting the reporting clause and adding a colon after it, Hai follows the original by using a comma instead of a colon after the reported clause and placing the reporting clause after the reported clause – “那麼，” 他想，這時他還沒動手就覺得垮了，“我再來試一遍吧。” However, the reported clauses are framed by inverted commas as “那麼，” and “我再來試一遍吧，” which are not found in the original – So, he thought, and he felt himself going before he started; I will try it once again. The addition of inverted commas in the reported clauses changes the original FDT into DT, signaling obvious authorial intrusion into the consciousness of the old man by the external narrator.

Contrary to Hai's, Wu's version of speech and thought presentation appears to be very much closer to the original. The sequences of events and the reporting clauses of the speech and thought presentation, coupled with the inverted commas enclosed in the reported clauses of DS are all reproduced faithfully. There are no restructurings or recreations of reporting clauses like those found in the other three translations. Sentences are broken accurately and even the use of punctuation follows the original closely. A prominent example is found in sentence fifty-seven in which the two commas and a semi-colon are reproduced exactly the same as the original – “原來如此，他想，還沒動手就感到要垮下來了；我還要再試一下。” Nevertheless, a little variation on the general pattern of faithful reproduction of the speech and thought presentation is found in sentence thirty-three, in which the positive polarity – “Yes you are, he told himself” – in the old man's response to his negative statement “I am not good for many more turns” is translated into a negative polarity following the convention of Chinese in providing a negative response to show disagreement with a negative proposition – “不，你是行的，他對自己說。”

There is a remarkable contrast between Hai and Wu in their different use of the demonstrative pronouns “這” and “那” to refer to the fish, revealing the different

viewing positions the narrator assumes in identifying the fish. One thing that differentiates Hai's translation from the other three is his frequent use of the demonstrative pronoun “那” to refer to the fish and the situation. In his translation of the passage, there are altogether eight instances in which he uses the demonstrative “那” to refer to the fish, including “那條,” “那魚,” “那個老樣子,” “那大胸鰭,” “那個,” but only one instance in which he uses “這” – “這邊” – to describe the fish's moving towards the side of the old man. The use of the demonstrative pronoun “那” generally communicates distal reference, indicating that events are described from the aloof view of the external narrator; while the use of the demonstrative pronoun “這” communicates proximal reference, depicting the events more from the perspective of the old man. Contrary to Hai, there are four instances in which Wu uses the demonstrative pronoun “這” to refer to the fish, including “這樣下去,” “這魚” and “這胸鰭.” For the demonstrative pronoun “那,” he uses three times, including “那魚” (two times) and “那麼一會兒.” It seems that the voice of the narrator is more apparent in Hai's translation. Events are described more from a distant perspective of the external narrator rather than directly from the more proximal reference of the old man. Different from Hai, Wu seems to distinguish the old man as the reflector of the story better. Events are described directly more from the perspective of the old man by Wu, as revealed from his frequent use of the demonstrative pronoun “這” to refer to the fish. The contrast between Hai and Wu in the use of demonstrative pronoun is particularly obvious in paragraphs twenty-one and twenty-two, in which the demonstrative pronoun “那” is used many times to refer to the fish by Hai, whereas “這” is used by Wu. Overall, Wu is more apparent in rendering the old man as the deictic centre and reflector of the story than Hai.

As for Li, restructurings and recreations of the original are widely found in his rendering of the speech and thought presentation. In sentences two and eight, the

old man's thoughts are presented in the form of Indirect Thought (ID) filtered through the voice of the narrator – “he was sure that in two turns he would have a chance to get the harpoon in” and “the old man was sure that by gaining some more line he would have him alongside.” They are rendered respectively by Li as “他敢肯定：再有兩圈，就用得著鋼叉了，” and “老人確信：再收進一段繩子後，魚就會近了。” Li specially creates two reporting clauses – “他敢肯定：” and “老人確信：” – and adds in a colon after each to signal the presence of the omniscient narrator. By rendering the thought presentation in this way, Li changes the original IT into FDT, indicating greater authorial intrusion into the active mind of the old man than that of the original. Li distinguishes more strongly than the original the voice of the narrator in expressing the old man's confidence in hooking the fish.

There are two more examples showing restructurings and recreations of the original in Li's rendering of the speech and thought presentation. One is found in sentence fifty-five, in which the reporting clause “the old man promised” is modified as “老人暗下決心，” putting emphasis on the old man's determination to try again to hook the fish despite his repeated failures to do so while the original is milder in tone. Another example is found in sentences forty-six and forty-seven. While the DS in both sentences are presented in the same paragraph as in the original, they are separated into two and the DS “Clear up” in sentence forty-seven is moved down into another paragraph and represented independently as “清醒” in the form of FDS with the reporting clause removed. In doing so, Li distinguishes the old man's self-expression of his command to clear up his mind.

One more example showing Li's special rendering of the thought presentation is found in sentences nineteen to twenty-three. The original series of imperatives is rendered similarly into imperatives by Li – “拉緊，手，他想。堅持住，腿兒。別發昏，

腦袋。別發昏。你是從不拆台的。” However, compared to Hai and Wu, Li’s appears to be lighter in tone since the verbs he uses are less vivid and vigorous. The verb phrase “堅持住,” with the progressive aspect, ordering the legs to hold up, is less vivid than the more direct command “站穩啦” and “站穩了” represented respectively by Hai and Wu through the use of the more concrete verb “站穩.” Moreover, the repetition “別發昏” expresses the old man’s self-commands not to faint, while the original and both Hai and Wu express the old man’s commands to his head to hold up for his own sake until the end – “Last for me” (original), “替我撐下去” (Hai’s translation) and “為了我熬下去吧”(Wu’s translation). The verb phrases “撐下去” and “熬下去” are both very strong material processes describing the old man’s telling himself to endure hardship until the end while Li’s translation carries no such sense. Finally, the colloquial expression “你是從不拆台的” is used to convey the original message that the old man has never failed before while Wu translates the sentence as “你從沒暈倒過,” which is more formal and direct. Overall, Li’s translation of the series of imperatives in sentences nineteen to twenty-three convey a relatively milder tone in comparison with the much stronger and more vigorous expressions used in the original and Hai’s and Wu’s versions.

As for Zhao’s translation of speech and thought presentation, restructurings and recreations of the original are also found. In sentence fifty-seven, the NRA clause in the original – “and he felt himself going before he started” – interposed between two FDT clauses – “So,” and “I will try once again” – is restructured and translated as “那麼我再試一回，他想，只是他還沒動手就覺得要昏過去了。” The two FDT clauses are combined into one and presented in the initial position of the sentence, while the NRA clause is placed at the end. By doing so, Zhao places the focus of the sentence in the end, highlighting the old man’s feeling faint and exhaustion before he decides to hook the fish again, while the original distinguishes more the old man’s decision to

hook the fish again.

Another interesting example showing Zhao's special rendering of thought presentation is found in sentences nineteen to twenty-three. The original series of imperatives expressing the old man's self-commands to his body parts to hold up is translated as “手，兩只都來拉吧。腿，兩下里站穩吧。頭，幫我幹到底吧，幫到底吧。往常你根本沒出過毛病。” Zhao's translation is different from the original and the other three versions in that he places the addresses to the old man's body parts to the front and translates the series of imperatives into a parallelism by adding the particle “吧” at the end of each clause. In fact, there is a tendency for Zhao to put the vocative at the very beginning of a clause indicating the object the old man speaks to before he introduces the subsequent information in the old man's monologue, while in the original, the vocative is often placed at the end of a sentence. Similar instances in fronting the vocatives are found respectively in sentences thirty-seven, thirty-eight and forty-six – “魚，...，” “兄弟，...，” “頭，...，” whereas in the original these vocatives are all placed in the final position of the sentences. By fronting the vocatives, Zhao pictures the old man as initiating a lively dialogue with his own body parts and the fish, thus creating a relatively lighter atmosphere in the portrayal of the battle.

Finally, compared to Hai's and Wu's versions, Zhao's translation of the series of imperatives in sentences nineteen to twenty-three conveys a much slower rhythm and a milder tone, since each clause of the series of imperatives is composed of six syllables, creating a much slower pace in expressing the old man's thoughts. Moreover, the commands expressed by the series of material processes appear to be weaker since the verbs are all placed in the final or middle position of the sentences – “手，兩只都來拉吧。腿，兩下里站穩吧。頭，幫我幹到底吧，幫到底吧。往常你根本沒出過毛病。” This is distinguished from Hai's and Wu's versions, in which

the commands are given crisply by the straight use of active verbs at the very beginning of the sentences to create much stronger effects. The clausal particle – “吧” – is added to create a smooth and even rhythm, thus weakening the imperative tone. The old man appears to invite participation of his body parts to hold up rather than commanding each to work collaboratively and promptly to fight with the fish. Also, Zhao’s rendering of sentence twenty-one is much more moderate and neutral in expressing the old man’s self-command to his head to help him until the end – “頭，幫我幹到底吧。” There is no serious sense that the old man should endure hardship until the end as that carried in the original and the translations by Hai and Wu. Finally, Zhao’s rendering of sentence twenty-three as “往常你根本沒出過毛病” again appears to be much more moderate than the other versions in picturing the old man as never having had any problems before rather than as never having failed before.

2.3. Translation of Modal Expressions

In the translation of deontic modal operators, the deontic modals “must” and “mustn’t” are generally reproduced in the four translations to express the old man’s sense of obligation to hook the fish; nevertheless, there are a few instances in which both Li and Zhao render the deontic modals “must” and “mustn’t” moderately compared to the original and the translations by Hai and Wu, expressing a weaker degree of obligation to hook the fish on the old man’s part and putting less emphasis on the active role played by him to catch the fish. One obvious example is found in sentence three, in which Li and Zhao both use the relatively weaker deontic modal verb “得” in combination with mild verbs to describe the efforts made by the old man to pull the fish closer towards him. Sentence three and its four translations are quoted as follows:

Original: But I must get him close, close, close, he thought.

Hai: 可是我應該使它來得近些，近些，更近些。

Wu: 可是我必須把它拉得極近，極近，極近，

Li: 但是我得叫它游近些、再近些、再近些。

Zhao: 可是我得等它往這邊靠，靠，靠得很近才成，他想。

Li and Zhao both use the modal verb “得” to express the old man’s sense of duty to hook the fish, which is a colloquial expression and relatively more moderate compared to the stronger modal “應該” used by Hai and “必須” by Wu. Furthermore, both Li and Zhao use very mild verbs in combination with the modal “得” to express the old man’s attempt to pull the fish closer towards him – “得叫它游近些” (Li’s translation) and “得等它往這邊靠” (Zhao’s translation). Li describes the old man as asking the fish to swim closer, whereas Zhao pictures him as waiting for the fish to come closer towards him. Compared to the stronger modal verbs coupled with the much more vigorous verbs used by Hai – “我應該使它來得近些” – and Wu – “我必須把它拉得極近,” Li and Zhao both appear to be milder in depicting the active part played by the old man to pull the fish closer towards him. Another example showing Zhao’s relatively moderate rendering of the modal in combination with a mild verb is found in his translation of sentence four. He renders the negative modal “mustn’t” as “可不能,” which is lighter in tone than the much stronger command expressed by Hai as “切不要” and Wu as “我千萬不能.” Moreover, Zhao pictures the old man as targeting at the fish’s head – “可不能瞄準它的頭” – instead of hitting it with the harpoon as that described respectively by Hai, Wu and Li as “戮,” “扎” and “刺” by the use of a much stronger and vivid verb.

One more example showing Li’s and Zhao’s relatively milder rendering of the modal expressions is found in their translations of sentence sixteen, in which the old man is described as holding on to the great fish with all his strength. The modalized expression “all the strain that he could” is used to emphasise the old man’s using all

his possible strength to hook the fish, showing his strong commitment to realise his goal. Indeed, the modal expression “he could” is used repeatedly throughout the passage to highlight the hard efforts made by the old man to catch the fish. In translating sentence sixteen, while Hai and Wu both use very strong verbs to describe the way the old man holds on to the fish, Li is relatively lighter in tone and Zhao appears to be the weakest by using a weaker adverb in combination with less forceful verbs to describe the way the old man keeps the fish restrained. Sentence sixteen and its four translations are quoted as follows:

Original: ... but he held on the great fish all the strain that he could.

Hai: 可是他依舊使出全身的力氣去拽住那條大魚。

Wu: 可是他竭盡全力拽住了那條大魚。

Li: 但還是牽住釣絲，竭力支撐著。

Zhao: 但他盡量對大魚保持著牽制力。

Hai, Wu and Li translate the modalized expression “all the strain that he could” by similarly strong verbal phrases – “依舊使出全身的力氣,” “竭盡全力” and “竭力,” highlighting the old man’s efforts to hold on to the fish with all his strength. Yet Hai and Wu both use a vigorous verb to describe the way the old man pulls the fish – “拽住,” which is stronger than Li’s use of a lighter verb to describe the way the old man holds the line – “牽住釣絲.” Overall, Hai and Wu both appear to distinguish better the strenuous actions performed by the old man to pull the fish. Contrary to Hai, Wu and Li, Zhao uses a lighter adverb “盡量” to describe the way the old man tries as much as he can instead of exhausts himself to control the fish. In fact, the verb Zhao uses – “保持著,” with an imperfective aspect (literally meaning maintaining the state of an action or an event), is not a very strong verb, and “牽制力” is more a noun phrase than a verb, picturing the old man as trying his best to maintain his restraint on the fish, conveying a relatively weaker mood in describing the old man’s battle with the fish.

As for the translation of epistemic modal expressions, there are obvious differences among the four translators, such as Li's and Zhao's renderings of the epistemic modal expressions "he would have a chance to get the harpoon in" in sentence two and "he could have him alongside" in sentence eight; Zhao's rendering of the epistemic modal adverb "maybe" in sentence eighteen; Zhao's rendering of the modal lexical verb with negative polarity – "I do not know" in sentence forty-nine; and Hai's rendering of the adjective "good" in sentence thirty-four. The following gives a brief analysis of the translation of these epistemic modal expressions done by the individual translator(s) to show how their variations.

In sentences two and eight, the epistemic modal expressions in the form of repetition – "he was sure that" and "the old man was sure that" are translated into various epistemic modal operators in the four translations – "他深信," "老頭兒深信" (Hai), "他有把握," "老人深信" (Wu), "他敢肯定," "老人深信" (Li) and "他有把握," "老漢相信" (Zhao), expressing a similarly strong degree of the old man's confidence in hooking the fish. However, Li's and Zhao's renderings of sentences two and eight appear to be particularly weak in depicting the active part played by the old man to pull the fish closer towards him to harpoon it. Li describes that "再有兩圈，就用得著鋼叉了" and "再收進一段繩子後，魚就會近," in which the old man's active role in getting the harpoon into the fish and pulling it closer towards him is not stated explicitly. Instead it is described moderately in a passive sense that the harpoon could be used and the fish itself will move closer as the old man gains more line. Similar to Li's rendering of sentence eight, Zhao uses a lethargic verb to describe the way the old man pulls the fish closer towards him, – "再收些繩子，就可以叫它靠攏過來。" The old man is not pictured as pulling the fish closer towards him by his own strength, but as inviting the fish to come closer towards him as he gains more line. Contrary to Li and Zhao, both Hai and Wu use much stronger verbs in combination

with the modals to depict the old man as an agent and his confidence in pulling the fish closer towards him to hook it in two turns. Hai renders the epistemic modalized expressions “he would have a chance” and “he could have” respectively as “他就可以乘機會” and “他就可以,” whereas Wu renders them as “就能有機會” and “他就可以.” Hai depicts vividly that the old man grabs the chance to get the harpoon into the fish, while Wu also emphasises that the old man has a chance to harpoon the fish. They both use forceful verbs to describe the way the old man pulls the fish closer towards him to hook it. Hai describes that the old man “把魚叉擡在它身上了” and “把它拽到船邊來了,” while Wu describes that the old man “把魚叉扎進魚身” and “就可以把它拉到船邊來.” The verbs “擡,” “拽,” “扎” and “拉” are all very vigorous verbs depicting the series of actions performed by the old man to catch the fish. Among the four translations of the epistemic modalized expressions of sentences two and eight, Li’s is the weakest in depicting the active part played by the old man to catch the fish since the old man as an agent in driving the harpoon into the fish is kept implicit – “老人深信：再收進一段繩子後，魚就會近了。” Zhao shows that the old man has confidence in getting the harpoon into the fish in two turns in sentence two– “他有把握再過兩圈就能鑽個空子，把魚叉扎到魚身上,” yet there is less emphasis on the fact that the old man grabs the chance to harpoon the fish as that depicted by Hai. The concrete detail “就能鑽個空子” describing that the old man can dig a hole is an addition that is not found in the original. Furthermore, he uses milder verbs to describe the way the old man commands the fish to come closer towards him – “就可以叫它靠攏過來.” Therefore, on the whole, Li’s and Zhao’s translations of sentences two and eight appear to be much more moderate than Hai’s and Wu’s in the portrayal of the active role played by the old man to harpoon the fish.

Zhao’s translations of the epistemic modal adverb “maybe” in sentence eighteen and the modal lexical verb “know” used with negative polarity in sentence forty-nine are

also different from the other versions. Zhao renders the epistemic modal adverb “maybe” in sentence eighteen as “作興” – “作興這回我能把它拉過來,” which is a colloquial expression describing the old man’s momentary thought that he may be able to pull the fish alongside towards him when it circles again, while all other translations render “maybe” as “或許,” which is a more formal diction describing the old man’s self-doubt about his possibility of pulling the fish closer towards him. Furthermore, Zhao translates the negative modal lexical verb “I do not know” in sentence forty-nine as “我不知道我撐不撐得下去,” making explicit that the old man does not know whether he can stand any further trials, whereas the other three translations merely reproduce the notion that the old man does not know without further elaboration as that depicted in the original – “我摸不透” (Hai), “我弄不懂” (Wu) and “我不知道” (Li). Zhao’s translation of sentence forty-nine makes explicit the message regarding the old man’s self-doubt about his strength to endure further defeats, which is not found in the original and the other versions.

Another example worth noticing concerning the rendering of epistemic modal expressions is found in Hai’s rendering of the adjective “good” in sentence thirty-four – “You’re good for ever” – as mentioned in section 2.2. above in his translation of speech and thought presentation. Hai uses a very strong adjective – “垮” – to highlight the old man’s self-reassurance that he will never fail or yield to difficulties – “你是永遠不會垮的,” while the other three translations use relatively lighter expressions – “你永遠行的” (Wu and Zhao) and “你永遠是行” (Li) to express the old man’s self-confirmation of his strength to stand further trials. The word “行” is a more general and weaker adjective in comparison with “垮” in the depiction of the old man’s endurance of further defeats. Once again, Hai appears to be much stronger in tone than the other translators.

2.4. Translation of Material Processes

Material processes of doing are the dominant process type exhibited in the first and latter parts of the passage chosen for study. The first part of it is characterised prominently by the material processes of doings describing a series of actions performed by the old man to pull the fish closer towards him to catch it, which are paralleled by a few material clauses portraying the repeated circling and swimming away of the fish from him. Towards the end of the episode approaching the climax, the material processes of doings are again recurrently used to describe the way the old man makes a resolution to try to hook the fish again and gathers his last ounce of energy to drive his harpoon into the fish's side to kill it. In sentences fifty-eight and fifty-nine, a succession of short material clauses is used to depict the quick motions of the old man to operate his harpoon to hit the fish forcefully. Sentences fifty-eight and fifty-nine are marked in terms of the transitivity analysis of the original and its translations. There are noticeable differences among the four versions in their renderings of the goals of sentence fifty-eight and the circumstantial elements of sentence fifty-nine. In Table 5.1. as follows, I will first provide the breakdowns of the transitivity structure of sentence fifty-eight according to the participant roles and the circumstantial elements associated with the material processes. Subsequent to these are the similar breakdowns of their counterparts in each of the four translations for comparison.

Table 5.1. Transitivity Structure of Sentence fifty-eight

Actor	Process	Goal	[connector]	Circumstances
He	took	all his pain	and	---
	---	what was left of his strength	and	---
	---	his long-gone pride	and	---
he	put	it	---	against the fish's agony

Table 5.2. Hai's Translation

Actor	Process	Goal
他	忍住	一切的疼痛
	抖擻抖擻	當年的威風
	把..... 統統拼出來	剩下的力氣
	用來對付	魚在死亡以前的掙扎

Table 5.3. Wu's Translation

Actor	Process	Goal	[connector]
他	忍住了	一切痛楚	---
	拿出	剩餘的力氣	和
	---	喪失已久的自傲	---
	用來對付	這魚的痛苦掙扎	---

Table 5.4. Li's Translation

Actor	Process	Goal	[connector]
他	忍住	各種疼痛	---
	鼓起	僅存的力氣	和
	---	早已衰減的少年意氣	---
	用作	孤注	---
	押在	垂死的大魚身上	---

Table 5.5. Zhao's Translation

Actor	Process	Goal	Circumstances
他的	---	一切痛苦	---
他的	---	殘餘體力	---
他	---	久已失去的自尊心	這回
他	都調動起來	---	---
	對付	大魚臨死前的猛力掙扎	---

In sentence fifty-eight, the old man is described as enduring pains and gathering his remaining strength to harpoon the fish. He is the actor and the material process is expressed by the verb “took” in the first three clauses. The goals are composed of

three abstract noun phrases coordinated by the connectors “and.” Unlike most of the other material clauses in which the goals are generally concrete objects, the goals in this sentence constituted by three abstract noun phrases – “all his pain,” “what was left of his strength,” and “long-gone pride” – refer to the psychological states of the old man. They can be viewed as ideational metaphors⁴⁷ construing the psyche of the old man as objects taken by himself to fight with the fish, showing his indifference to hardships and his determination to use his last resort to kill the fish. The noun phrase “what was left of his strength” connotes physical fatigue and “long-gone pride” his fading glory, showing the old man’s exhaustion in stretching his limit to battle with the fish. The circumstance of location “against the fish’s agony” indicating the object the old man targets at can also be viewed as a metaphor formed by the abstract noun phrase “agony” paralleling “all his pain” as the object taken by the old man himself.

The four translators render the way the old man gathers his “long-gone pride” differently. Hai uses particularly strong verbs to describe the material processes, which are contrasted sharply with the lethargic verbs used by Zhao. Hai, Wu and Li all render the process “took” and the two abstract noun phrases of the goals similarly – “all his pain” and “what was left of his strength,” picturing the old man as enduring pains and gathering his remaining energy to hook the fish – “忍住一切的疼痛,” “把剩下的力氣統統拼出來” (Hai), “忍住了一切痛楚,” “拿出剩餘的力氣” (Wu), “忍住各種疼痛,” “鼓起僅存的力氣” (Li). The three translators all use vivid verbs to describe the way the old man endures pains and gathers his last ounce of effort to hit the fish. Hai is particularly emphatic by adding an adverb “統統” before the verb “拼出

⁴⁷ According to Halliday (1994), metaphors refer to variation in the expression of meanings, which may involve the transference of meanings from the concrete to the abstract domain, or from the literal to the non-literal form. To express a given meaning, there is always a typical way of saying a thing, labeled a “congruent form,” and a different way of saying, known as a “metaphorical variant;” for example, “Mary saw something wonderful” (congruent form) versus “Mary came upon a wonderful sight” (metaphorical variant). A congruent form is a direct way of expression, whereas a metaphorical variant form is an indirect one. A metaphorical variant of an ideational kind is known as “ideational metaphor” (pp. 342-344).

來” to highlight that the old man uses all his energy to fight the battle. Contrary to Hai, Wu and Li, Zhao is particularly mild in depicting the material process; he deliberately places the process in the latter part of the sentence by using a rather general and mild verb – “調動,” which is a metaphor representing the way the old man moves his pain, his remaining strength and his lost self-esteem in battling with the fish – “他的一切痛苦，他的殘餘體力，他久已失去的自尊心，這回他都調動起來。” The goals composed of the three noun phrases are fronted specially and placed before the process in the form of a parallel structure by repeating the possessive pronoun “他的” or the pronoun “他” before each noun phrase realising the goals. By doing so, Zhao shifts the focus of attention to the goals by the emphatic parallel structure rather than to the process, and there appears to be less emphasis on the painstaking efforts made by the old man to endure hardships and to gather his remaining strength as that represented in the original and the other three versions. Moreover, the temporal deixis “這回” is specially added to convey proximal reference, referring to the last turn the old man hits the fish, which is not found in the original.

With regard to the abstract noun phrase “his long-gone pride,” Hai renders it as “抖擻抖擻當年的威風,” while Wu as “喪失已久的自傲,” Li as “早已衰減的少年意氣,” and Zhao as “他久已失去的自尊心.” The noun phrase “long-gone pride” in the original connotes the old man’s long-lost pride and fading glory. While Wu, Li and Zhao each renders it into an expression carrying similar negative connotations as the original, Hai goes beyond the original and renders it into a positive description distinguishing the heroic image of the old man. Wu’s rendering is more literal, connoting the old man’s long-lost pride. Li highlights the fading youth and vitality of the old man, and Zhao describes the long-lost self-esteem of the old man. Distinguished from the three other versions, Hai pictures the old man as restoring his past radiance to battle with the fish. There is no hint of the old man’s deteriorating spirit or vigour as that

manifested in the other versions. The alliteration “抖擻抖擻” is a very strong verb specially created to spotlight the way the old man strengthens his spirit and restores his glory. He is represented as a heroic figure recalling his glorious past to heighten his spirit, while in the original and the other versions, he is depicted as a vulnerable and exhausted old man who can barely survive the battle.

Finally, Li’s rendering of the material clause of sentence fifty-eight – “he put it against the fish’s agony” – is worthy of attention. In the original, the old man is pictured as using all his energy to hit the fish, which is struggling in agony to get rid of the line. The old man and the fish are fighting a life-or-death battle. Li renders the old man’s critical battle with the fish metaphorically as a gamble; and the old man is gambling his life on the last fight with the dying fish – “用作孤注押在垂死的大魚身上。” By contrast, the other three translators render this material clause more or less factually, all stating similarly that the old man gathers his last ounce of effort to hit the fish, which is struggling painfully before it dies – “用來對付魚在死亡以前的掙扎,” (Hai), “用來對付這魚的痛苦掙扎” (Wu), “對付大魚臨死前的猛力掙扎” (Zhao).

2.5. Translation of Circumstantial Elements

Sentence fifty-nine describes the chain of movements of the old man in operating his harpoon to hit the fish’s side to kill it. It is full of spatial deixis, formed by a series of prepositional phrases construed as the circumstances of location, identifying the position of the fish’s side the old man hits. The four translators render these circumstantial elements differently. In the following in Table 5.6., I will first provide the breakdowns of the transitivity structure of sentence fifty-nine, which are then followed by the similar breakdowns of their counterparts in each of the four translations for comparative analysis.

Table 5.6. Transitivity Structure of Sentence fifty-nine

Actor	Process	Goal	[connector]	Circumstances	[connector]
The old man	dropped	the line	and	---	---
	put	his foot	---	on it (location)	and
	lifted	the harpoon	---	as high as he could (manner)	and
	drove	it	---	down with all his strength (location, manner)	and
		---	---	more strength he has just summoned (manner)	---
		---	---	into the fish side (location)	---
		---	---	just behind the great chest fin (location)	---
		---	---	that rose high into the air (location)	---
		---	---	to the altitude of the man's chest (location)	---

Table 5.7. Hai's Translation

Actor	Process	Goal	[connector]	Circumstances
老頭兒	放下了	釣絲	---	---
φ	把.....	它	---	---
φ	踩		---	在腳底下 (location)
φ	---	---	---	然後 (time)
φ	把.....	魚叉	---	高高地 (manner)
φ	舉起	---	---	舉到不能再高的高度 (manner)
φ	---	---		同時 (time)
φ	使出	全身的力氣	---	比他剛才所集聚的更多的力氣 (manner)
φ	把.....	魚叉	---	---

ϕ	扎	魚腰裡	---	進正好在那大胸鰭後面的 (location)
那個胸鰭	---	---	---	高高地 (manner) 在空中 (location)
ϕ	高	---	---	得齊著一個人的胸膛 (manner)

Table 5.8. Wu's Translation

Actor	Process	Goal	[connector]	Circumstances
老人	放下	釣索	---	---
一腳	踩住了	---	---	---
ϕ	把.....	魚叉	---	---
ϕ	舉	---	---	得盡可能地高 (manner)
ϕ	使出	全身的力氣	---	---
ϕ	加上	---	---	剛才鼓起的力氣 (manner)
ϕ	把..... 朝下	它	---	---
ϕ	直扎	---	---	進魚身的一邊 (location)
ϕ	---	---	---	就在大胸鰭後面一點兒的地方 (location)
這胸鰭	---	---	---	高高地豎立著 (manner)
ϕ	高	---	---	齊老人的胸膛 (manner)

Table 5.9. Li's Translation

Actor	Process	Goal	[connector]	Circumstances
老人	把..... 扔下	釣絲	---	---
ϕ	用	---	---	---
腳	踩住	---	---	高高 (manner)
ϕ	舉起	鋼叉	---	---
ϕ	用盡	平生氣力	---	---
ϕ	--- 加上	--- 一時橫下的	還	---

		狠心		
ϕ	---	---	---	從側面..... (location)
ϕ	猛戮	---	---	過去，不偏不歪 (location)
ϕ	---	---	---	正好 (manner)
ϕ	刺中	---	---	---
	升	---	---	到和老人胸部一般高的胸鰭邊 (location)

Table 5.10. Zhao's Translation

Actor	Process	Goal	[connector]	Circumstances
老漢	撂下	繩子	---	---
	用	---	---	---
腳	踩住	---	---	盡量往高處(manner, location)
ϕ	舉起	魚叉	---	---
ϕ	使出	全副力氣	還	---
ϕ	繞上	他新激起的勁頭	---	---
ϕ	把.....	鐵叉	---	---
ϕ	扎	---	---	進魚的側面 (location)
ϕ	---	---	---	恰恰 (manner)
	扎	---	---	到那翹在半空 (location)
ϕ	---	---	---	跟老漢胸口一般高的大胸鰭面 (manner, location)

In sentence fifty-nine, the old man is described as operating his harpoon to catch the fish. He shows contrasting movements in lifting up the harpoon as high as he could and driving it down with all his strength. A series of verbs is used to describe the processes as he operates his harpoon – “dropped the line,” “put his foot on it,” “lifted the harpoon,” and “drove it down.” The quick succession of actions performed by the old man hints at his exhaustion in catching the fish; he has to summon more strength to accomplish the task. A series of prepositional phrases is catalogued to indicate the part of the fish the old man hits – “(1) into the fish's side (2) just behind the great

chest fin (3) that rose high in the air (4) to the altitude of the man's chest.” This series of prepositional phrases, indeed, is used as a string of post-modifiers identifying the exact location of the fish's side the old man hits. They belong to the circumstances of location providing additional information about where the old man performs the processes. The first prepositional phrase “just behind the great chest fin” serves as a post-modifier modifying the head noun phrase – “the fish's side,” indicating that the fish's side is somewhere behind the great chest fin. The next prepositional phrase is the rankshifted clause “that rose high in the air,” qualifying the preceding noun phrase – “the great chest fin.” Last is the prepositional phrase “to the altitude of the man's chest,” modifying the preceding rankshifted clause “that rose high in the air,” elaborating further that the fish is as high as the old man's chest.

In rendering the set of circumstantial elements of sentence fifty-nine, the four translators are markedly different from each other. Wu is the closest to the original in reproducing the list of post-modifiers identifying “the fish's side” the old man hits similarly as post-modifiers. For the other three translators, they each make certain adjustments to the original. With regard to the rendering of the series of processes describing the way the old man operates his harpoon to catch the fish, the four translators also reveal noticeable differences. Hai describes that “老頭兒放下了釣絲，把它踩在腳底下，然後把魚叉高高舉起來，舉到不能再高的高度，同時使出全身的力氣，比他剛才所集聚的更多的力氣。” He puts extra emphasis on the hard efforts made by the old man to lift the harpoon to the highest possible extent by creating the repetition “舉到不能再高的高度，” which is also a circumstance of manner that is not found in the original. He stresses that the old man summons more strength than what he has just gathered to harpoon the fish, highlighting the way the old man exhausts all his energy to battle with the fish.

Wu renders the series of clauses as “老人放下釣索，一腳踩住了，把魚叉舉得盡可能地高，使出全身的力氣，加上剛才鼓起的力氣，把它朝下直扎進魚身的一邊。” Wu follows the original sequences closely in rendering the processes and the circumstances. The upward and downward movements of the old man in lifting up the harpoon and driving it down with all his strength into the fish’s side are well captured by Wu. He pictures the old man as summoning more strength to drive the harpoon into the fish’s side, which is close to that described in the original. Nevertheless, there is a little restructuring of the sequences of details by combining the clause “drove it down with his strength” with “into the fish’s side” to describe straightly that the old man drives down the harpoon into the fish’s side, while in the original, the clause “and more strength he had just summoned” is interposed between the two clauses. Yet overall the series of concrete details describing the way the old man operates the harpoon to catch the fish are all reproduced delicately by Wu, which is the closest to the original of the four versions.

Li is less detailed and exact in portraying the way the old man uses his harpoon to catch the fish. He renders that “老人把釣絲扔下，用腳踩住，高高舉起鋼叉，用盡平生氣力，還加上一時橫下的狠心，從側面猛戳過去。” Some of the details of the original are omitted, while some new ones are added into it to represent a different picture of description. Information about the old man lifting the harpoon as high as he could is omitted, instead the old man is described as lifting the harpoon high, which is relatively more moderate than the original and the other translations in highlighting the efforts made by the old man to lift the harpoon to the highest possible extent. Furthermore, the clause “and more strength he had just summoned” is omitted and transposed as “還加上一時橫下的狠心，” representing the old man as having a sudden impulse to kill the fish mercilessly. While the original and the other translations emphasise the way the old man summons more strength to hook the fish,

Li distinguishes the old man's heartlessness in hitting the fish. In addition, while the original describes that the old man drives down the harpoon into the fish's side, Li portrays that the old man hits the fish from his side rather than into that point, thus changing the original picture about the exact position at which the old man gets the harpoon into the fish. Overall, Li's translation of the circumstances of sentence fifty-nine is very much different from the original by modifying it in a special way, and it is the roughest of the four versions.

Zhao renders that “老漢撂下繩子用腳踩住，盡量往高處舉起魚叉，使出全副力氣，還繞上他新激起的勁頭，把鐵叉扎進魚的側面。” He preserves the original sequences of details about the way the old man drops the line, lifts the harpoon as high as possible, and uses all his energy to drive the harpoon into the fish's side. He translates the clause “and more strength he had just summoned” as “還繞上他新激起的勁頭，” which is a colloquial and lively expression used to highlight the vigour the old man has just renewed to hit the fish. The words “力氣” and “勁頭” are used as a pair of synonyms describing the way the old man gathers his strength to hook the fish.

Regarding the translation of the string of post-modifiers identifying the location of the fish's side the old man hits, the four translators also reveal striking differences between each other. Wu once again is the most delicate and exact in reproducing closely the original catalogue of details identifying the fish's side. He renders the series of details similarly as post-modifiers and presents them in the same sequences as those of the original – “把它朝下直扎進魚身的一邊，就在大胸鰭後面一點兒的地方，這胸鰭高高地豎立著，高齊老人的胸膛。” He first indicates clearly that the old man drives his harpoon down into “the fish's side,” which is elaborated further by another clause similarly in the form of a post-modifier indicating that “the fish side” is located somewhere behind the great chest fin. Then, he proceeds to elaborate further that the great chest fin rises high, reaching as high as the old man's chest.

Hai identifies the part of the fish the old man hooks as “把魚叉扎進正好在那大胸鰭後面的魚腰裏，那個胸鰭高高地挺在空中，高得齊著一個人的胸膛。” He combines the first two prepositional phrases and moves the latter phrase – “just behind the great chest fin” – to the front to change the original post-modifier into a pre-modifier. The initial information about the old man hitting “the fish’s side” is represented as “魚腰裏” at the end of the first clause, which is modified by the preceding adjectival phrase “那大胸鰭後面的。” Hai indicates correctly that the old man hits the part of the fish behind the great chest fin. Yet the original sequences of details as represented in the first two prepositional phrases of the catalogue of details identifying the fish’s side are reordered. Nevertheless, for the two adjacent clauses describing the height of the fish, Hai renders them closely according to the original by preserving the two concrete details concerning the great chest fin rises high in the air, as high as the man’s chest. Though the core information regarding the elaborate details of the fish’s side is reproduced closely by Hai, compared to Wu’s, his rendering is less literal and exact.

Compared to Hai’s rendering of the catalogue of details identifying the fish’s side, Li’s is even rougher. He renders that the old man “從側面猛戳過去，不偏不歪，正好刺中升到和老人胸部一般高的胸鰭後邊。” Once again he omits some concrete details of the original and add in some new ones into the translation to produce a different picture in describing the way the old man drives his harpoon into the fish’s side. The locative phrases “從側面” and “不偏不歪” are additions that are not found in the original. Li identifies clearly that the old man hits the part of the fish behind its chest fin – “胸鰭後邊，” which is presented as a noun phrase at the very end of the sentence, modified by a fairly long attributive clause – “升到和老人胸部一般高的。” By so doing, he changes the original series of post-modifiers qualifying “the fish’s side” into a compressed long pre-modifier, and the first detail regarding the old man’s hitting “the

fish's side" is omitted. Furthermore, the detail that the great chest fin rises high in the air is partly preserved as “升到,” while the final detail that the great chest fin is as high as the man is basically reproduced. Overall, Li's translation of sentence fifty-nine is the roughest of the four versions.

Similar to Li, Zhao makes obvious adjustments to the original. He pictures the old man as “把鐵叉扎進魚的側面，恰恰扎到那翹在半空，跟老漢胸口一般高的大胸鰭後面。” He preserves the first concrete detail regarding the core message that the old man hits “the fish's side” – “把鐵叉扎進魚的側面.” As for the series of post-modifiers modifying “the fish's side,” similar to Li, he compresses them into a fairly long attributive clause, modifying the noun phrase “胸鰭後面,” which is placed at the very end of the sentence. Therefore, he restructures the prepositional phrase “just behind the great chest fin” and moves it to the end of the sentence, as Li has done. Regarding the last two concrete details about the height of the fish, he basically reproduces the image that it rises in the air but he puts less emphasis on the message that it rises “high” by the description “那翹在半空,” and finally he preserves the detail that the fish is as high as the old man's chest. Overall, compared with Hai's and Wu's translations of the material processes and circumstances in sentence fifty-nine, Li's and Zhao's show notably more flexible modifications and restructurings of the sequences of details in describing the efforts made by the old man to gather more strength to hit the fish's side eventually.

3. Case Study Two: The Use of Lexis in the Four Translations of *The Old Man and the Sea*

I now move on to case study two, which is concerned with the use of lexis in the four translations. The study consists of four subsections (3.1 to 3.4.), with each devoted

to a brief description of the unique characteristics of the individual translator in the rendering of diction. The observations are drawn from lists of examples selected sporadically from the two corpora compiled before, which reveal particular linguistic behaviour of the four translators in the choice of diction. The examples are attached in Appendix One as raw data at the back of the thesis for reference. I will begin with Hai's translation.

3.1. Hai's Translation

Hai favours to use the strong and vigorous verb “撐” to describe the way the old man holds the line firmly to endure the battle with the fish. A total of fourteen instances is recorded in this study, which is not an exhaustive account of the total number of the verb used by Hai. The verb “撐” has also been used in the other three versions, such as Wu's translation of the verb “hold” (in clauses 20 and 529) and the verb “braced” (355); Li's translation of the verb “cramping” (473); and Zhao's translation of the verb “do” (264) and the verbs “last” (522-523). Yet overall, the verb is less widely used but expressed by other vivid verbs in the other three versions, showing the emphasis Hai puts on distinguishing the hard efforts made by the old man to endure the battle.

Another prominent feature of Hai is his use of longer attributives in subordinated *de* (的) clauses, sometimes two to three such short attributives are coordinated to form a fairly long adjectival clause functioning as a premodifier modifying the head noun such as the example 跟比他所看見過、所聽說過的(魚)都要大的 一條最大的 (魚)連在一起(1103), in which there are three embedded adjectivals (respectively eleven, three and four words) with the subordinating particles “的” modifying two head nouns “魚,” forming a fairly long attributive clause of twenty-one words. This kind of lengthy premodifier is prominently used by Hai but not commonly used by Li and Zhao; though a few of them are also used by Wu as in the following examples:

他把身子慢慢挪到可以用腳碰到那一卷卷他看不見的(釣索)的(地方)。(651)

老人看見兩片褐色的鰭正順著那魚必然在水裏留下的很寬的(臭跡)游來。(776)

只有那沉重、尖銳的藍色(腦袋),兩只大眼睛和那嘎吱作響、吞噬一切的突出的兩顎。(1251)

The average sentence length of the twelve attributive clauses listed in Table A.1.2. in Hai's translation is 19.6 words, which is obviously longer than that of 11.2, 6.6 and 7.8 words found respectively in Wu's, Li's and Zhao's versions. There is one particularly outstanding instance in Hai's translation of clause 737, in which he uses an unusually long attributive clause of thirty-six words composed of four adjectivals with the subordinating particles “的” strung together to modify the head nouns “肉裏”, “當兒” “眼睛” and “牙齒;” – “看見它在猛力朝魚尾巴上面的(肉裏)咬進去的(當兒)它那雙使人驚奇的(眼睛)和咬得格崩格崩的(牙齒).”

3.2. Wu's Translation

Wu's preference for literal translation is revealed most prominently in his renderings of metaphorical expressions compared to the other three versions. Wu consistently renders the images of metaphors literally by reproducing the original noun phrases constituting the ideational metaphors similarly as noun phrases, and preserving closely the original sequences of information though he will make slight adjustments according to the syntactic differences between English and Chinese; for example, he reproduces “put all of his effort on” as “把渾身的力氣都使出來”(30), “took his suffering as it came” as “忍受著襲來的痛楚感”(41), “and started the pivoting and the weaving pulling” as “開始那種左右轉動、交替拉曳的動作”(94), “and he could bring the pain of life” as “感到生之痛楚”(476), “and confided more and more of the resistance” as “把對抗魚的拉力”(674), “prolongs both our suffering” as “延長我們雙方的痛苦”(1163), “it is my safety” as “我的安全所在”(1163). Compared with Wu's literal translations of metaphors, the other three versions are much more flexible in the use of diction; the

original noun phrases are often reproduced as verb phrases in their congruent forms, such as Zhao's rendering of "He only needed the feel of the trade wind" (633) as "他只消覺出信風吹著" and Li's as "只要感覺出貿易風"; Hai's rendering of "bring the pain of life" (476) as "他還覺得活活地痛哩" and Zhao's as "就活生生地疼"; Li's rendering of "gone into a dullness" (574) as "背變得麻木了" and Zhao's as "變得發木了." Overall, Wu is very much faithful to the original and is less flexible in the use of lexis.

3.3. Li's Translation

Compared with Hai and Wu, Li is more flexible and creative in the choice of diction. For example, in translating the vigorous actions performed by the old man to catch the fish, Li uses more lively, creative, and colloquial expressions compared with the more literal, plain and direct diction used by Hai and Wu, such as rendering "drew up tight" as "僵握住" (114) versus "緊緊地貼在" by Hai and "緊緊握住了" by Wu; rendering "the old man hit it" as "老人一擊而命中" (200) versus "朝那一個地方紮進去了" by Hai and "老人直朝它紮去" by Wu; rendering "he nearly had him" as "老人差一點得手" (226) versus "他幾乎把它曳到身邊了" by Hai and "他差一點把它拉了過來" by Wu; rendering "but never alone" as "但都不是單槍匹馬捉的" (250) versus "不過不是他一個人捉到的" by Hai and "不過從未獨自一個人逮住過" by Wu; rendering "let me put the harpoon into you" as "我請你吃叉子" (397) versus "讓我把魚叉刺到你的身上去" by Hai and "讓我把魚叉刺進你的身子" by Wu; rendering "seeing black spots" as "眼前不時出現金花" (781) versus "眼前有黑點兒在晃動" by Hai and "看見眼前有些黑點" by Wu. In some cases, Li alters the original drastically by transposing the original images into entirely different ones, such as in describing the old man's seeing the slant change in the water (721), Li changes the original image into "這時水中釣絲還看不出有什麼變化" (meaning that the old man does not see any change in the water); in describing that the old man does not like his hands to be cut before the battle begins (857), Li transposes the original image into "怕就怕高潮未到手腳先掛花" (meaning the old

man's fear of his hands and legs being scratched before reaching the climax).

Li's has a preference for four-character idioms and literary expressions in describing the objective setting such as “風送滿帆,” “沁人心脾,” “水天相連, 眼空無物” “曉月西沉,” “風鼓滿帆,” “風起浪湧”; the old man's hand “皮開肉綻”; his eyes “眼冒金星”, “恍恍惚惚”, “舉目四望”, “翹首這望”; his face “零零星星”; his manner “小心翼翼”; his other reactions “汗流浹背”, “泰然自若”, “無所畏懼”, “一清二楚”; his assessments of the situation “時來運轉, 就唾手可得了”, “時運不濟”, “愈加分明.” Blended with the extensive use of four-character expressions is Li's notable colloquialism; for example, the use of the Beijing dialect in imperatives – “咱倆” (a special inclusive pronoun used as Subject) and “甬” (meaning “do not”); “麻利” (describing the old man's skill with the line); “泡得” (describing the way the old man soaks his hand); “轉磨” (describing the circling of the bird); “啃得,” “橫叨著,” “叨走” (describing the way the shark eats the fish or the fish eats the bait); and other spoken expressions including “一瞧,” “乾脆,” “實惠,” “蠻有氣派,” “乾嗎.” The mixture of the four-character literary expressions and colloquial diction is a unique characteristic of Li's version.

3.4. Zhao's Translation

Zhao uses more creative, lively and playful diction, which is contrasted markedly with the more solemn and formal diction used by Hai and Wu. For example, in rendering the vigorous actions performed by the old man to pull the line to catch the fish, Zhao uses a variety of vivid and lively verbs such as “一溜直,” “掄下一棒,” “拳緊一團,” “就揍,” “撈些來一抖,” “擱它,” “蹭擦,” “窩起,” “騰的立起,” “拳著,” “就迎著上吧,” “泡下去,” “繃狠,” “來勢又急、又狠、又壓手.” Most of these verbs are monosyllabic verbs producing a rapid rhythm and a lively tone. Moreover, a clausal particle like “唄” and interjections like “噫,” “哼” are specially created to produce emphasis in the descriptions of the old man's monologue. Onomatopoeic words such as “擗擗,” “擋

擋,”“歇歇” are also used to create musical cadence in the descriptions of the movements of the fish and the old man. Nevertheless, unlike Li’s relatively more drastic modifications of the original, Zhao’s rendering of diction is closer to the original; for instance, the original images regarding “His left hand was still cramped, but he was unknotting it slowly” (468) are still basically preserved by Zhao as “他的左手仍然拳著,但是他慢慢在撐開它;” “and slamming on to the top of the sharks’ broad head” as “對著鯊魚的寬頭頂砰地狠砍下去;” “He tried to increase the tension” as “他試著繃狠些.” In some cases, Zhao makes minor adjustments by adding interjections and clausal particles, and minor details like “到手的” to “He is my fortune” (1381), “還把不少打成了殘廢” to “and ruined many others” (334). Overall, Zhao reproduces the images of the original to a closer degree than Li, and uses more creative and lively diction compared with Hai and Wu.

Similar to Li’s, Zhao’s translation is characterised by a strong colloquial flavour with extensive use of dialectal expressions, including the Beijing dialect “咱倆,” and “甭;” the adverbials “利索地” and “哆嗦” (describing the movement of the skiff); “叨去,” “靠攏,” “蹭過去,” “啃魚,” “橫叨著,” “有股子飛跑的猛勁,” “啃了一處” (describing the movements of the fish and the way the old man hits it); “疼得真夠瞧的,” “勞駕快張開,” “也疼得夠嗆”(describing the old man’s hands); “也跟我耍滑放刁” and “累得骨頭要散架了” (describing the old man’s body and tiredness); “花皮,” “想幹啥就幹啥,” “很硬氣” (describing the fish and the sharks); “沒轍,” “亂了套,” “磨菇,” “耍了花招,” (describing the battle with the fish); “更足哩,” “苗頭,” “作興,” and “巴望的事兒”(describing the objective setting and the old man’s mood and comments on the situation). Finally, Zhao favours to use the Beijing dialect “*er hua*” (兒化) expressions. They often follow the noun phases like “原道兒,” “岸影兒;” verb phase like “打轉兒;” verb phases with measures like “撈點兒,” “減點兒,” “添把勁兒;” measures like “自個兒,” “一對兒,” “撥兒,” “一溜兒,” “一支槳把兒;” adverbial phases like “半晌兒,” “沒準兒,” “末了兒.”

Though this type of expressions is also used by the other three translators, and quite often by Li; nevertheless, overall, they are less prominent than those by Zhao, giving his translation a special colloquial flavour that is unique among the four versions.

4. Concluding Remarks: Summary of a Repertoire of Linguistic Features of the Four Translations Identified in Case Studies One and Two

There are noticeable differences between the four translations in the rendering of various linguistic items investigated in the two case studies. In order to identify better the individual styles of the four translators, I compiled a repertoire of linguistic features of the four versions revealed through both case studies conducted in the present chapter. It is outlined in Table A.2.1. attached in Appendix Two at the back of the thesis for further reference. What follows are my concluding remarks on the overall individual linguistic choices of the four translators observed in the qualitative analysis.

On the whole, the findings support the dominant traits of the four translators exhibited in the corpus studies, such as Wu is the most faithful of the four. He is the most literal and the closest to the original in the rendering of lexis, syntactic structure and the sequences of information. By contrast, Li is the roughest who makes the most alterations by means of omission, addition, modification and restructuring of the sequences of details, creating apparently different pictures of description. Zhao also makes noticeable adjustments by means of addition, modification and restructuring of the sequences of details; he is particularly outstanding in reordering flexibly the sequences of information to create different stylistic effects as revealed in his special fronting of vocatives and reordering of the material processes and the spatial deixis

found in case study one. As for Hai, he also makes obvious adjustments, most prominent in his special rendering of speech and thought presentation by means of addition, modification and restructuring of the sequences of information. Moreover, new findings about the translators' linguistic behaviour are collected, including (1) Hai has a tendency to create very strong expressions to distinguish the heroic image of the old man and his active part played to catch the fish, which is contrasted sharply with the particularly mild and lively expressions used by Zhao in describing the battle of the old man with the fish; (2) Hai's translation of the speech and thought presentation is characterised by a strong imperative tone by the omission of subjects and the special fronting of the reporting clauses to distinguish the voice of the narrator; (3) Hai's frequent use of the distal demonstrative pronoun “那” to describe events from the aloof view of the external narrator, as against Wu's common use of the proximal demonstrative “這” to describe events directly more from the perspective of the old man than from that of the narrator; (4) Li and Zhao both favour to use colloquial expressions like “拆台,” “作興” and “勁頭,” which are notably different from the more formal diction used by Hai and Wu; (5) Hai has a preference for the vigorous verb “撐” and lengthy premodifiers; Wu for more literal rendering of ideational metaphors; Li for a blend of four-character literary expressions with colloquial diction; Zhao for lively, creative and the Beijing colloquial “*er hua*” expressions. All these data suggest that the four translators leave their individual fingerprints in the translated texts.

Chapter Six

Motivations for Translation Shifts

1. Introduction

Having located the texts within their sociocultural contexts and conducted textual analysis in phases one and two of the research, I now enter the third phase, which concerns the explanation of the motivations for translation shifts. I seek to relate the textual features uncovered to the specific sociocultural frameworks in order to find out the correlation between the textual and the contextual elements. On the basis of the textual data compiled from Chapters three to five, and the contextual information collected in Chapter two, I try to explore the purposes of translating *The Old Man and the Sea* at different periods, the translators' backgrounds and location, the publishers' orientations and the main sociocultural and ideological factors that may have influenced the translators' choices. In the process of empirical research, I will add in new data, both contextual and textual, in order to understand and to explore better the correlation between the norms of text production and the linguistic habits of the translators as revealed in their translations of other texts. The chapter is broadly divided into three parts. Section two (2.1. to 2.2.) is the analysis of Hai's translation as one set produced in the Maoist era; and section three (3.1. to 3.6.) is the analysis of the versions of Wu, Li and Zhao as another done in the post-Mao 'opening-up' period. For the analysis of both sets of translations, I will first begin with a brief review of the sociocultural background to the versions, followed by a discussion of the motivations of translation shifts. Finally, in section 4, I will present my concluding remarks on the styles of the four translators in rendering the novella and its style in translation.

2. Translation by Hai Guan (1956)

2.1. Sociocultural Background to Hai's Translation

Under the party's leadership in the 1950s, China was a highly planned economy. Foreign literature translation became a mere tool of "proletarian politics" or an instrument for ideological propaganda. The whole procedure of translation, from the selection of texts, through arrangement of duties by the organisations concerned, to the monitoring of quality by a collaborative system were all supervised by the government. Publishers and translators were paid by the government to carry out their assigned duties. They chose works and censored their own translations to fit the CCP's policies. This explains why only certain types of foreign literature (mainly Russian realistic works) were translated from 1949 to 1966, and the chaos in duplication of translation was greatly curbed (Wang Qijian, 1995, pp. 306-309, p. 353, pp. 376-377; Sun, 1996, pp. 184-189).

Mao Zedong's Talks at the Yan'an Forum on Art and Literature, delivered in May, 1942, served as the canon for all literary creation and criticism until 1976 (Lee, 1985, p. 60). The speech was published on 19 October, 1943 in *Jie Fang Ribao*. Later on Mao himself revised the speech, which was included into *The Selected Works of Mao Tse-tung*, Volume Three, published by People's Publishing House in 1953 under the Central Committee of the CCP (Xie, 2008, p.73; "Publisher's Note," *Selected Readings From the Work of Mao Tse-tung*, 1967)⁴⁸. Mao revised slightly the old version of his speech by adding in information regarding Lenin's emphasis that art and literature should "serve the millions upon millions of working people" (Mao Tse-tung, 1956, volume four, p.70); revising the phrasing about the remoulding of the

⁴⁸ The quotations from Mao's Yan'an Talks given in section 2.2.1. as illustrations come from the English edition of *Selected Works of Mao-Tse Tung, Volume Four*, pp. 63-93, published by Lawrence and Wishart in 1956. It was translated from the second Chinese edition of *The Selected Works of Mao Tse-tung, Volume Three*, published by People's Publishing House in Peking in 1953.

old literary forms with new content to serve the people – “We should take over the rich legacy and succeed to the fine tradition of Chinese ..., but we must do this with our eyes upon the broad masses of the people..., remoulded and filled with new content, also become things which are revolutionary and serve the people” (ibid, p. 71); and replacing the term “proletariat realism” with “socialist realism” in discussing the question of the united front in art and literature (ibid., p. 83), etc⁴⁹. Overall, the revised edition of Mao’s speech gave more prominence to the role of art and literature to serve the masses by assimilating raw material from “the people’s life of their own times and places” (ibid. p.76). He proclaimed in the introduction of his talks that the purpose of the forum was to “fit art and literature properly into the whole revolutionary machine as one of its component parts, to make them a powerful weapon for uniting and educating the people and for attacking and annihilating the enemy, and to help the people to fight the enemy with one heart and one mind” (ibid., p.64). He expounded the standpoint of the party from the proletariat and the broad masses of the people (ibid.). He stressed that art and literature should serve the interests of “workers, peasants, soldiers and the urban petty bourgeoisie” which constituted the overwhelming majority of the Chinese nation (ibid., pp. 71-72). Literary writers should learn to use the language of the masses; and literary cadres particularly needed art and literature of a higher level for enhancing their standards through them to educate and guide the people towards massive popularisation in the long term (ibid., p. 79). He also discussed the relation between popularisation and elevation and whether the party should prioritise raising standards or a broader literary dissemination. He found no contradiction between the two since popularisation served as the basis for elevation and both tasks are interrelated and could be implemented simultaneously. He proclaimed that:

⁴⁹ See Xie Guobing (2008, pp.73-74) for six obvious revisions Mao himself made to his first version of his Talks at the Yan’an Forum on Art and Literature.

... popularisation and elevation cannot be sharply separated. Not only is it possible to popularise even now a number of works to a higher level, but the cultural level of the broad masses is also steadily rising.... The people need popularisation, but along with it they need elevation too,... Thus our elevation is on the basis of popularisation while our popularisation is under the guidance of elevation (ibid., pp. 78-79).

In part three of the talks, Mao reasserted his view on the subordination of art and literature to politics. Although he acknowledged the distinction between political content and artistic form and the importance of the latter, he clearly spelt out that the political criterion should take precedence over the artistic criterion. After all, correct ideology grounded on Marxism was of primary importance while literary technique was secondary (Chai, 1972, p. 192; Lee, 1985, p. 160). In Mao's words:

But all classes in all class societies place the political criterion first and the artistic criterion second....What we demand is unity of politics and art, of content and form,... But as I see it, the political side is more of a problem at present (Mao Tse-tung, 1956, pp. 85-86).

In the National Conference on Literary Translation held in August, 1954, Mao Dun, the Minister of Culture, presented a comprehensive report entitled "To strive for the Development of Literary Translation and the Improvement of Translations in Both Quantity and Quality [Wei Fazhan Wenxue Fanyi Shiye he Tigao Fanyi Zhiliang er Fendou]. It had a far-reaching impact on literature translation by setting a direction and providing prescriptive guidelines for literary translators to follow (Sun, 1996, p. 212; Meng & Li, 2005, p.293). Part three of the report entitled "The Necessity of Enhancing Literary Translation to the Level of Artistic Creation" [Bixu Ba Wenxue Fanyi Gongzuo Tigao Dao Yishu Chuangzao de Shuiping] was particularly influential. In the report, Mao Dun expounded that literary translation is artistic creation that should aim for a higher standard. Other than fulfilling the basic criteria of "fluency"

and “faithfulness” as in general translation, it should reproduce closely “the artistic essence,” “the spirit,” and “both the content and form” of the original. He suggested that “a translator and the original author become one; a translator is like the original author creating his or her own work in another language. This requires the translator to liberate his or her creativity, yet totally faithful to the intention of the original.... But if the main duty of literary translation is to duplicate the spirit and form of the original, then, this kind of artistic and creative translation is necessary” (Mao Dun, 1984, p. 10, my translation). Concerning the language of translation and translation method, Mao Dun supported absorbing new lexis and new means of expression from foreign works on the basis of the basic lexis and syntactic structures of idiomatic Chinese; he favoured neither “mechanically reproduced stiff translation,” nor “completely free translation to the detriment of the grammatical structure and lexis used in the original” (ibid. p. 12). He suggested that it is possible and necessary to “take into account the peculiarities of the original in its form, yet at the same time to use the pure Chinese language in translation.” He recognised the positive influence of Europeanization in enhancing “the strictness of the Chinese syntactic structures,” yet disapproved translations that do not read like Chinese (ibid.). In addition, there was a particular emphasis on “accuracy” in translation, upholding the primary principle of “faithfulness,” which Mao Zedong openly espoused in support of Lu Xun’s practice of rigid translation in translating theoretical discourse on Marxism in his conversation with music workers in August, 1956. Mao proposed to uphold “fidelity at the expense of fluency” instead of vice versa if both could not be preserved harmoniously in the translation of theoretical works⁵⁰ (Chen, 1992, pp. 382-383).

Against the background of a flourishing period of literary translation in the 1950’s, Fu

⁵⁰ Mao Zedong’s conversation with the music workers was later published in *People’s Daily* [*Renmin Ribao*] on 9 September, 1979, entitled “A Conversation with Music Workers” [Tong Yinyue Gongzuozhe de Tanhua] (Chen, 1992, p.383).

Lei reiterated his view of the “resemblance in spirit rather than in form” (重神似，不重形似) as a criterion of literary translation. He expressed that “an ideal piece of translation should be like a Chinese version written by the author of the source text. Thus the meaning and spirit of the source text, as well as the ease and unity of the target text, can be properly dealt with” (Fu Lei, 1951, translated by May Wong, 2004, pp. 102-103). In the 1960s, Qian Zhongshu introduced the notion of “sublimation” or “realm of transformation” (化) as the highest standard of literary translation. He emphasised transference from one language to another without bearing any trace of awkwardness due to language variations or losing any flavour of the original. He explained that:

The highest standard in literary translation is *hua*, transforming a work from the language of one country into that of another. If this could be done without betraying any evidence of artifice by virtue of divergences in language and speech habits, while at the same time preserving intact the flavour of the original, then we say that such a performance has attained *huajing*, “the ultimate of transmutation” (Qian Zhongshu, 1963, translated by George Kao, 2004, p. 104).

Influenced by the prevalent principles of “artistic and creative translation,” “closeness of spirit” and “sublimation” proposed respectively by Mao Dun, Fu Lei and Qian Zhongshu in the 1950s and 1960s, there arose a movement to clear “translationese” among literary translators, who strove to reproduce the artistic and spiritual flavour of the original, rendering a work that was like “a creative writing” rather than “a translation” on the foundation of the native soil. This, together with the institutionalisation of translation criticism resulted in a noticeable enhancement of the quality of translation (Meng & Li, 2005, p. 293).

2.2. Hai’s Translation

With regard to the translations of Hemingway produced in this period, only *The Old*

Man and the Sea and “The Undefeated” were translated by Hai Guan, and both were first published by the government journal *World Literature*⁵¹ [*Shijie Wenxue*], respectively in 1956 and 1961. The novella was selected for translation since it was considered a realistic work highly commended by Russian literary critics (Qiu, 1990, p.15), and it could serve well to strengthen the morale of the Chinese people to fight the enemy and to construct socialism. It was the type of work that fulfilled Mao’s political criterion in art and literary criticism – one that could “facilitate unity and resistance to Japan,” “encourage the masses to be of one heart and one mind,” and “oppose retrogression and promote progress” (Mao Tse-tung, 1956, p. 84). Both the novella and “The Undefeated” describe a hard-boiled old man who conquers his old age and physical exhaustion to survive a life-or-death contest – Santiago battles with the marlin and sharks as a fisherman; Manuel Garcia with the bull as a bull-fighter. Hai translated both works by highlighting the image of the undefeated old man, and his vigorous actions performed in fighting with the enemy.

Being agents of the government in the communist era, writers and translators were all obligated to express their views in accordance with the Marxist doctrines. Hai himself had a strong socialist-realist orientation, which can be seen from his career history and works translated. In the 1940s, he worked as a consultant for the Institute of Literature of the Chinese Academy of Social Sciences, as a translator in the Russian news agency Itar-Tass in China, as the Secretary for the China-Russia Cultural Association, as an editor of *World Literature* (a journal published by the state-owned Renmin Wenxue Publisher). In 1956, he joined the Chinese Writers’ Association, the principal institution governing literary production in socialist China.

⁵¹ The journal *World Literature* [*Shijie Wenxue*] was established in January 1959 to introduce “the revolutionary and progressive literature in the world.” It was formerly named as *Rendition* [*Yiwen*] established by the All-China Literary Workers’ Association in July 1953 (Sun, 1996, p.7).

He translated a number of Russian realistic works in the 1940s to '50s including Vassily Grossman's *The People Immortal*, Dostoyevsky's *Crime and Punishment*, a collection of essays on Soviet arts, socialism and realism and other works ("Hai Guan," 2008)⁵². In addition, the afterword he wrote for his translation of *The Old Man and the Sea* carries a strong tone of Soviet realism – "the work manifests a new mood of optimism, which makes it closer to realism," "the story expresses the boredom of a conscientious intellectual exploring life under a capitalistic system," "Hemingway's works manifest the tragedy of individual heroism" (Hai, 1957, pp. 86-87). Based on all this information, it seems likely that Hai translated the novella in compliance with the requirements of the party for literature translation.

In fact, Hai's rendering of the novella exhibits the prominent characteristics of literature translation done in the new China. It is a crafted work of quality, produced faithfully with careful attention to detail, and rendered in a language that is refined yet accessible to the general public. Except for the conspicuous adjustments in the translation of the reporting clauses of FDT and a number of material processes, overall, Hai makes only slight changes in the translation of all the stylistic and linguistic features selected for study. There are no major omissions, paragraph divisions and the sequences of information generally follow the original closely. Yet in terms of language, he has a tendency to use formal and literary diction and pure Mandarin instead of mix it with regional dialects, lengthy premodifiers, redundant pronominals as well occasionally to add colourful adjectives to enhance expressiveness. All these are criticised not to reproduce well the original simple, concise, crisp and colloquial style of the novella, as remarked by Wang Ji (1989), He, Wang and Zhang (2001) and Xi (2001). Nonetheless, considering the facts that a text

⁵² See Chapter two – Section 3.4.2.1. for an introduction to Hai and literary works translated by him.

is a product of a particular sociocultural environment, linguistic norms and reception of a work will vary with time, all these negative comments on Hai's translation may not be appropriate at his time. Indeed, in light of the delicate choices of diction made, Hai's translation was very much in conformity with Mao's proposal to enhance the general public's standard of literary appreciation, with the ultimate goal to popularise literature by using layman's language and form; and in line with the party's requirements to enhance literary translation to the level of artistic creation as well as to absorb the nutrients of foreign languages on the basis of idiomatic Chinese.

Hai's language is modern *baihua* (白話 vernacular Chinese) which had been widely promoted since the May Fourth Movement to replace *wenyan* (文言 classical Chinese) as the unified written language. It was built upon the common language spoken by the masses, named as *dazhongyu* (大眾語) (Lundberg, 1989, p.225). The language was varied and diverse; it adopted the Beijing phonetic system as the unified standard for spoken Chinese and absorbed useful ancient, dialect and foreign words. The grammatical structure preserved the strengths of ancient Chinese and assimilated patterns from some foreign languages, thus becoming stricter and more precise ("Spoken and Written Languages," 1989, pp. 123-124). In the course of its development, modern *baihua* underwent a fusion of the vernacular, the classical language, the spoken language (dialects) and foreign languages. Vernacular Chinese was popularly used in newspapers, magazines, legal, government and official documents from the 1950s though classical Chinese was still used in a limited scale in educated, news and official discourses. Modern *baihua* assimilated certain Europeanized structures such as new affixes, coverbs and conjunctions, lengthening sentences through increased levels of embedding, and extensive use of third-person singular pronouns (Gunn, 1991, p.39, p. 63). Moreover, the promotion of a mass literature employing mass language, particularly by Mao's Yan'an talks of 1942,

contributed to the experimentation with regional speech in literary writing. This violated the party's goal for a national common language by limiting readership of a work to those who could speak the same dialect (ibid., pp. 47-48). Because of the confusion of language use, normalisation of Modern Chinese became an urgent issue of concern of the government after liberation.

To normalise the new *baihua* vernacular, *People's Daily* [*Renmin Ribao*] published an editorial on 6 June, 1951, edited by Mao Zedong, entitled "Employ the Language of the Fatherland Correctly; Struggle for the Purity and Health of the Language" [Zhengquedi Shiyong Zuguo de Yuyan; Wei Yuyan de Chunjie he Jiankang er Douzheng]. It reiterated the party's value orientation to study "what is useful in popular, foreign and ancient languages" as spelt out in Mao Zedong's writing "Oppose the Party 'Eight-Legged Essay' " [Fandui Dang Bagu] (Mao Tse-tung, 1956, p. 54). This meant to learn the language of the masses, to absorb fresh foreign expressions that suited the needs of the Chinese nation, and to adopt what was still alive in the ancient language. The editorial particularly curtailed indiscriminate use of classical language, dialects, foreign words and newly coined diction intelligible only to a small group of people. To codify these rules, *Renmin Ribao* subsequently published a series of articles written by Lü Shuxiang and Zhu Dexi, immediately thereafter released in book form as *Talks on Grammar and Rhetoric* [*Yufa Xiuci Jianghua*] in 1952. Furthermore, a conference on normalisation of Modern Chinese was held in Beijing in 1955 to discuss the issue further (*Transformation and Development of Written Chinese*, 1959, p. 19; Gunn, 1991, p. 50). *Yufa Xiuci Jianghua* championed various constructions used by Lu Xun and Mao Zedong. It functioned well as a prescriptive manual of Chinese grammar and prose style from the 1950s into the 1980s. It exerted a normalisation influence on all kinds of prose writing within the PRC, and particularly curbed the use of regional speech (Gunn,

1991, p. 50, p.55). Under the cultural policies of the party, the influence of Western and classical languages had diminished, and modern *putonghua* (Mandarin, common language) was closer to speech than the *baihua* of the May Fourth period (Lundberg, 1989, p. 226). In stabilising writing style and rapidly expanding the literary rate, the creative value of the language in the use of unpredictable and metaphorical expressions or regional dialects was sacrificed over the Maoist era (Gunn, 1991, p. 56).

In fact, Hai's language appears to be the kind of model language promoted by the party. It is basically fluent Mandarin comprehensible to the majority of the population, but more formal and literary with the occasional use of archaic lexis such as “戳它的頭,” “抖擻抖擻當年的威風,” “滑到黑魆魆的水裏去,” “深邃的蔚藍的海水裏,” “天氣冷颼颼的,” 各種魚都麇集在那兒” which would be understood better by the literati. It contains no marked structures, unconventional expressions, or an awkward blend with classical language or regional dialects. Indeed, it is the type of literary language polished on the basis of the language of the masses⁵³, serving to enhance the public's aptitude of literary appreciation for massive popularisation of literature. Moreover, it accommodates certain Europeanized features within the limits of intelligibility in Chinese, as seen most prominently in the use of three or more levels of embedding in preposed attributives.

A noticeable characteristic of Hai's version is his extensive use of lengthy premodifiers, which makes him stand out from the other three versions. A series of three or more short adjectival phases coordinated by the conjunctions “和” or “又”

⁵³ There is an editorial in *Da Gong Bao* quoted in *The Transformation and Development of Written Chinese* (1959, pp.32-35) that exemplifies the model of a good prose at the time of the 1950s. It commends the language used in the editorial as one “built on the basis of the spoken language of the people, with the diction and structure polished and refined to the enhanced level of literary language” (ibid. p. 35).

preceded a subordinating particle “的” clause is frequently used to modify a common head noun, producing a fairly long sentence with a generally longer average sentence length than the other three versions. This may account for the relatively greater length of Hai’s translation compared with the others (The three-day battle of the translations by Hai, Wu, Li and Zhao selected for study are respectively produced in 37,702, 35,824, 30,965 and 34,254 words). The clumsy premodifiers used by Hai are usually formed from the attributive clauses, the postmodifying “that” clauses or prepositional phrases used as adverbials. Instead of rendering the restrictive “that” clause by a separate clause as a postmodifier, which is also a possible sentence structure in modern Chinese similar to that of English, Hai has a tendency to render the postmodifier as premodifier, embedding it within a succession of preposed attributives to produce a fairly long and somewhat clumsy sentence. This kind of lengthy premodifiers is also found in his translation of Hemingway’s “The Undeclared,” such as “把劍一直插進緊接在脖子後面尖尖(的)肩胛中間大約五比索大那麼大(的)一個圓圓(的)小點子裡面去” (p. 79). They have been criticised as complex and inelegant, destroying the musical rhythm of the original in Hai’s translation of *The Old Man and the Sea* (He, Wang & Zhang, 2001, p. 16). Nonetheless, this is not a fair criticism of Hai since he merely adopted a Europeanized structure commonly used at his time⁵⁴. Actually, increasing the levels of embedding in preposed attributives was an Europeanized feature widely promoted by the trend towards literal translation since 1918. In traditional Chinese, preposed attributives were limited to two levels of embedding, whether of phrases or clauses, lengthening embedded preposed attributives beyond three levels was newly assimilated into contemporary Chinese

⁵⁴ By the 1950s, there was already a clear distinction between the two kinds of *de* (的) / *de* (地) in contemporary Chinese; the former serves to indicate subordination of genitives, adjectives, and phrases in front of nouns, and the latter links an adverb with the verb it is subordinated to. A further distinction between *de* (的) used for subordination of genitives and phrases, as distinct from *de* (底) for that of adjectives as proposed by Lu Xun was generally adopted only in theoretical but not in common discourse (Lundberg, 1989, p. 222; *Transformation and Development of Written Chinese*, 1959, pp. 142-144).

and became a common practice in Chinese prose by the mid-1920s, and especially in news discourse by the 1950s (Gunn, 1991, p. 223, p. 226, p. 238). According to *The Transformation and Development of Written Chinese Since the May Fourth* [Wu Si Yilai Hanyu Shumian Yuyan de Bianqian he Fazhan] (1959, p. 36), edited by the Chinese Department of Beijing Teacher's College, this kind of pattern exemplifies the creative use of language in modern Chinese, as illustrated by an example of a forty-seven word lengthy premodifier from an editorial quoted in the book⁵⁵. It absorbs Europeanized syntax, producing a varied and natural structure. However, the book also calls attention to the fact that too many levels of embedding in lengthy attributive clauses would cause ambiguity, and thus should not be encouraged in modern Chinese (ibid, pp. 157-158)⁵⁶. It seems that increasing preposed attributives beyond three levels was not yet a stabilised Europeanized feature by the time of the 1950s⁵⁷. It took time for the feature to be normalised (to be contained or eliminated) according to the laws governing the development of the language. Hai's preference for lengthy premodifiers, indeed, reveals his attempt to absorb notable Europeanized features into his translation on the basis of idiomatic Chinese. This was the liberal use of Europeanized grammar promoted by the government, and championed by Mao Dun in the 1954 conference on literary translation. It deserves attention that Hai makes some moderate revisions to his earlier rendering of the novella, reprinted four years later as a bilingual version in 1960. He deliberately shortens some of the lengthy sentences by breaking them into a series of shorter clauses; and uses

⁵⁵ The positive example of a lengthy premodifier of forty-seven words quoted in the book is “唐朝的韓愈，寫過‘伯夷頌’，頌的是一個對自己國家的人民不負責任，開小差逃跑，又反對武王領導的當時的人民解放戰爭，頗有些‘民主個人主義’思想的伯夷，那是頌錯了”。

⁵⁶ The negative example of a lengthy premodifier quoted in the book is “他是一個畫家，住在“一條老聞著魚腥的小街底頭一所老屋子的頂上一個 A 字式的”尖閣裡” (徐志摩：巴黎的鱗爪)。

⁵⁷ According to *The Transformation and Development of Written Chinese Since the May Fourth* [Wu Si Yilai Hanyu Shumian Yuyan de Bianqian he Fazhan] (1956, p. 174), by the 1950s, alongside lengthening preposed attributives, there was also a tendency to lengthen postposed attributives according to Europeanized structures as it was allowed in traditional Chinese. The book provides a list of examples of postposed attributives found in the translations by Qu Qiubai such as “一個警察，有胡子的，很嚴重很憂郁的，走近了人堆” (高爾基：同志)。

simpler, more specific, fluent and modern diction aligned with the trend towards normalisation of vernacular Chinese⁵⁸. Probably this was done out of his intention to make his translation more accessible to the general public, as seen from the popularity of the bilingual version of the novella; it was reprinted three times in 1963, 1978 and 1981, by the Commercial Press before the three other translations were produced.

A closer look at the set of adjustments Hai makes finds that he has a tendency to use very strong expressions such as “你不撐也得撐,” “你是永遠不會垮的,” “我一定要拼命撐著” to distinguish the old man as an undefeated hero in battling with the fish. For example, he uses forceful modal verbs and adverbs in combination with vigorous verbs to highlight the active part played by the old man to pull the fish; affirmative deontic modals to emphasise the old man’s sense of duty and determination to catch the fish. In one instance he even goes beyond the original by representing the old man as a heroic figure recalling his glorious past to strengthen himself. In addition, the FDT presentation is characterised by a brisk imperative tone by omitting the subject, and modifying the clause such as “決不要昏過去,” laying stress on the old man’s self-commands to hook the fish. Hai’s characterisation of the old man as an unyielding hero carries a didactic tone typically found in Communist fiction. This is supported further by a remark at the end of the preface of Hai’s bilingual version – “since the themes and content of the novella are basically pessimistic, we should read this work seriously with a critical attitude” (1981, p.3). It seems that there is a deliberate emphasis on the old man as a model hero, who possesses the noble qualities of bravery, unbounded zeal and capacity for endurance greatly admired by the masses of the time. By spotlighting the hard-boiled manner of the old man, Hai’s

⁵⁸ See Chapter two – section 3.4.3.2. of the thesis for the revisions Hai made to his first version of *The Old Man and the Sea* in the later bilingual version.

translation could serve the pragmatic functions of motivating the Chinese people to fight against the enemy and to construct socialism, to praise the revolutionary struggles of the masses and to unite the comrades to join in the struggle against the bourgeoisie in accordance with Mao's agenda for arts and literature (Mao Tse-tung, 1956, p. 87, p. 92). More importantly, it fulfilled people's need for spiritual empowerment at the time of ideological confusion and national reconstruction. Under a series of political campaigns to brainwash the minds of intellectuals in the name of self-criticism, it was natural for them to find enlightenment in the figure of an unbeaten old man who combated all difficulties to survive a tough contest. This is supported by the favourable reception and significant impact of Hai's version; for example, Jiang Jingguo recommended the novella in a meeting of the League of Anti-Communism and Saving China and asked the representatives to read it every day to enhance their fighting spirit (Peng Hui, 1993, in Wang Qijiang, 1995, p. 374). Moreover, many Chinese readers expressed how they were strengthened by the motto of the novella in times of adversity – “一個人并不是生來要給打敗的。你盡可把他消滅掉，可就是打不敗他，” particularly during the Cultural Revolution when the book was read secretly⁵⁹.

Most of Hai's modifications to the original focus on the FDT presentation, which are noticeably different from the original and the other versions. He has a pattern of moving the reporting clauses of FDT to the front and adding in a colon after each to signal the voice of the narrator, showing stronger narratorial intrusion into the consciousness of the old man. By omitting the subjects in a series of imperatives of the FDT clauses, it appears as if the narrator also takes part in giving the commands

⁵⁹ Yang (1990, p.195) mentions that Hemingway's *A Farewell to Arms* and *The Old Man and the Sea* were read secretly during the Cultural Revolution by intellectuals in factories and villages though the books could not be found in libraries. Yang describes a case of a miner how he was enlightened and strengthened by the motto of the novella during the Cultural Revolution and struggled to become a writer. He presents another similar case of a female miner on page 209.

to the old man. In addition, there is one instance of adding inverted commas to the reported clauses to change the FDT to the DT, and a few instances of modifying the reporting clauses to highlight the old man's strong determination to fight the battle. Also, compared to Wu, Hai seems to use the distal demonstrative pronoun “那” more than the proximal demonstrative pronoun “這,” describing events more from the aloof perspective of the narrator than that of the old man, who is actually the reflector from whose perspective the narrative is told. On the whole, Hai lays a greater emphasis on the voice of the external narrator in the rendering of the old man's thoughts compared to the other versions.

Hai's translation of the FDT mode is reminiscent of the narratological characteristic of zero focalization of traditional Chinese fiction, where the omniscient narrator says more than any of the characters know. In addition, his tendency to front the reporting clauses of FDT, and add in a colon after each recalls the traditional practice of placing the mediating clause or leading tag at the beginning of DS (Zhao, 1995, p. 112, p. 114). According to Gunn (1991), the presentation of speech or thought followed by the mediating clause, instead of vice versa as in traditional Chinese fiction, emerged only after 1918. It was a Europeanized feature brought to Chinese texts through translations of western fiction (p. 64, p. 67, p. 241). It is interesting to discover that Hai's way of fronting the reporting clauses of the old man's thoughts resembles that found in Liu E's *The Travels of Lao T'san* [*Lao Can You Ji*], produced in 1904-1907. This book is considered the first example of stream-of-consciousness experimentation in Chinese prose (ibid., p. 11):

.....—躲在陰影裡的石灰臉，石灰臉，石灰臉.....

(作家心裡想:)

第一回巡禮賭場第二回巡禮街頭..... (ibid., p. 286).

Nonetheless, Hai still basically follows the original in employing a third-person

narrative via a non-participating narrator (Category B Narratorial Mode (N) in Simpson's model). The DS and NRA strands as well as the transitions between the various modes of point of view are generally retained. Only in rendering the Category B Reflector (R) mode, does he tend to distinguish the voice of the omniscient narrator, who therefore displays stronger intrusion into the active mind of the old man. Yet, on the whole, the narrator still refrains from making explicit comments, and Hai removes the quotation marks of the reported clauses as does the original. As a result, Hai's translation displays a mixture of omniscient focalization and external focalization, or a hybrid of the old and the new narratological features. In fact, third-person external narrative is not a tradition of Chinese fiction. It was assimilated into modern Chinese fiction mainly through translations of foreign literature, and did not become popular until the 1930s⁶⁰ (Chen, 1998, p. 91). In light of the above findings, Hai's rendering of the FDT presentation, to a certain degree, shares the common characteristic of post-Yan'an fiction in reverting to the narratological conventions of Chinese fiction. Dominated by Mao's notion of the subordination of form to content and his disregard for psychological writing in literary creation (Hsia, 1961, p. 477, p.491, p.503), a modernist technique like "stream-of-consciousness" or "interior monologue" realised by FDT was rejected by the party since it was considered too innovative for propaganda purposes. They preferred a communal mode of traditional literature to an individualistic mode of modernism (Zhao, 1995, p. 261). This is reflected in Hai's translation of the old man's thoughts, which still carries a certain trait of traditional Chinese narrative in accordance with Mao's requirement of a reversal of the development of Chinese literature.

⁶⁰ According to Zhao (1995, p. 49), the stereotyped narrator in traditional Chinese fiction is a "non-participant semi-explicit" narrator who presents himself as the "story-teller" in an implicit first-person self reference. Zhao suggests that it is oversimplified to say whether the narrative is in the first person or in the third person in traditional Chinese fiction – the "first-person" narrator is analogous to the "explicit" narrator while "the third-person narrator" to the "implicit" narrator. Chen (1988, p.91) proposes that restrictive narration gradually replaced omniscient narration, and third-person narrative gradually superseded first-person narrative to become the dominant narrative mode in modern Chinese fiction in the 1930s.

3. The Translations by Wu Lao (1987), Li Xiyin (1987) and Zhao Shaowei (1987)

3.1. Sociocultural Background to the translations by Wu, Li and Zhao

The three other versions of the novella were all produced in another boom period of American literature translation in 1987 in the post-Mao era under the leadership of Deng Xiaoping who adopted the “reform and opening-up” policy of the “four modernisations.” This was a new epoch of diversity and openness, in marked contrast to the preceding period of uniformity and seclusion under Mao’s rule. Being starved by the Cultural Revolution for ten years, the Chinese people were curious to know the outside world and receptive to western thinking and literature. This is revealed from the large-scale importation of modern and contemporary American and British literary works in response to their demand. From 1949 to 1979, there were over 5,600 foreign literary works translated, with an average of 200 different titles per year, as against the over 7,000 titles from 1980 to 1989, with an average of 700 new titles per year (Meng & Li, 2005, p. 403). However, ever since the publishing houses became privately-owned, they no longer exchanged information about the works selected to translate or the translation tasks being undertaken, or paid much attention to monitoring the quality of outputs collaboratively as in the previous period, resulting in duplication of translation, deterioration in quality coupled with the priority concern of economic values over social benefits (ibid., p. 404).

In the new period from 1978, Chinese readers began to read American literature from fresh perspectives other than the purely Marxist view imposed on them before. Writers and translators equipped themselves with current thoughts and trends. They tried out new modernist techniques, resulting in some innovative play with style and literary forms as well as an emphasis on individuality in both language and

characterisation (Lee, 1985, p.162; Fan, 1999, p.173). On the literary scene, revolutionary realism now flourished side by side with modernism, absorbing the techniques of the “absurd, magic, symbolic, obscure, stream-of-consciousness,” thus manifesting a mixture of the old and the new manners of presentation (“Modern,” 1989, p. 1081; Fan, 1999, p. 172). As a result of the perversion of human nature caused by the Cultural Revolution, the issues concerning the consciousness of “Man,” the relationship between literature and socialist humanitarianism, and the importation of foreign literature regained attention in New Epoch literature. Diversified themes ranging from political, social, economic and ethical issues, through fashions and customs, to human instinct and psychological development were all writers’ subjects of interest (ibid., pp. 1081-1082). It was against such a backdrop of intellectual dynamism that *The Old Man and the Sea* was retranslated into three different versions in 1987. The novella was considered a masterpiece manifesting human dignity and arousing hot debates on the issue of Man and human nature, thus gaining popular attention.

As regards the criteria of translation, Part three of Mao Dun’s comprehensive report presented in the 1954 National Conference on Literary Translation – “The Necessity of Enhancing Literary Translation to the Level of Artistic Creation” [Bixu Ba Wenxue Fanyi Gongzuo Tigao Dao Yishu Chuangzao de Shuiping] was reprinted in 1983 as guidelines for literature translation in the new epoch in the first issue of *Chinese Translator’s Journal* [*Fanyi Tongxun*] established by the Translators Association of China founded in the 1980s (Chen, 1992, p. 381). In 1986, in the first national conference held by the Translators Association of China, Jiang Zhuangfang provided guidelines for the establishment of Translation Studies in China. He advocated that China should absorb the strengths of different schools of theories from the West and establish her own theory on the basis of the heritage laid down by the predecessors;

and “in response to the needs of the times, China should establish a system of modern translation theory that suits the Chinese context and displays distinguished characteristics of its own” (Meng & Li, 2005, p.405, my translation). A similar view was expounded by Luo Xinzhuang (1984), in his “Chinese Translation Theory, a System of Its Own” [Woguo Zicheng Tixi de Fanyi Lilun] as the introduction to *A Collection of Essays on Translation*. He proposed that China should humbly learn the Western translation theories and develop her unique translation theory. He singled out Yan Fu, Fu Lei and Qian Zhongshu as the central figures in Chinese translation theory; and re-stated Yan Fu’s notion of “a faithful translation” as one that “conveys not only the meaning but also the style of the original.” “Faithfulness” includes “fluency” and “elegance” as well; and the latter two are subsumed under the former – “[t]he aim of fluency is to achieve faithfulness, while the aim of elegance is certainly not to embellish fluency” (Luo, 1984, translated by Tan, 2004, p.234). He expounded further that since “faithfulness” in the absolute sense cannot be attained in reality, thus Fu Lei’s ideas of “getting at the spirit of the original” and “spiritual resonance” are a further advancement of Yan’s “faithfulness.” And Qian Zhongshu’s concepts of “the realm of transformation” and that “the translation does not read like a translation” can be considered a level higher than Fu’s “spiritual resonance” towards the attainment of a perfect standard of art. Luo stressed that Yan, Fu, and Qian’s concepts are all “interrelated” and constitute “a complete whole” that should form the core of a system of Chinese translation theory of its own (ibid., p. 235).

Concerning the issue of the language of translation, the calls to “purify” Chinese, to foreground Chineseness, and to curb Europeanization were prominent in the 1990s. There appeared a revived opinion that Chinese is a sufficient language for expression and thus it should not be contaminated with elements of foreign languages; for example, Shen Xiaolong (1992), in his *Interpreting Language*,

proposed to discard the Western linguistic models since, with their emphasis on “formal analysis,” they are inapplicable to the study of Chinese grammar which favours content or “spirit” over form (Chan, 2004, p34). Zhang Yiwu (1993), in his *Exploring the Margins*, discussed the possibility of re-adopting features of the classical language into contemporary written Chinese as it carries a rich cultural residue that it could contribute to the formation of a new mode of expression, coined by him as “post-vernacular” (*houbaihua* 後白話). Shen’s and Zhang’s views represented new voices to oppose linguistic “colonization” in the new era (ibid., pp. 34-37). It seems that the general preference for translation in the 1990s remained a sinicizing approach that privileged naturalised Chinese and the elimination of “translationese.”

3.2. The Translations by Wu, Li and Zhao

The broadness in theme in the New Epoch writers leave its traces in the paratextual materials of the three translations, indicating that they were produced in a new socio-cultural environment; for instance, the preface of Wu’s (1999) translation provides a new interpretation of the novella from the multiple perspectives of a fable, a song of heroism, a Greek tragedy, Christianity, Hegel’s aesthetics, and an artistic creation (pp.127-139). Diao’s criticism of the novella, entitled “Man is not Made for Defeat,” is included as the preface of Li’s translation (Li, 1987, pp.1-8). It conveys realistic values like “the old man is a victim of capitalism,” “the battle epitomises the brutal human relationship in a capitalist society,” “the story manifests the destruction of epic individualism,” displaying a strong tone of revolutionary realism, and putting emphasis on the undefeated nature of man that was still prevalent in the early post-Mao period. As for Zhao’s version, it has no preface but contains a few short translations of and about Hemingway attached at the end, including Xiang Yu’s rendering of Hemingway’s acceptance speech for the 1954 Nobel Prize for Literature,

Feng Yi-dai's translation of Hemingway's prosepiece "The Art of Short Story." All these attachments provide additional information about the writer's life and works.

The three translations were printed by three different publishers coincidentally in a similar time of 1987 – Li's in February by Sichuan Wenyi, Zhao's in July by Lijiang, Wu's in August by Shanghai Yiwu. They are all big publishers which have a very good reputation in China, and have won awards for their publications. They might have been able to maintain their profits by publishing serious literature. Therefore, the three versions of the novella are still quality works, produced with arduous efforts of the translators, though they all show certain adjustments in both language and style to cater for the public taste in a market-driven economy. Moreover, the three translators are all distinguished ones; particularly Wu and Li are both renowned literary translators who have been commended for their works. It is interesting to find that though the three versions were done in a similar time of 1987, they show distinctive characteristics. Wu's contrasts remarkably with Li's and Zhao's, which share some similarities in their colloquialism and experimentation with narrative techniques, yet their flavour is still very different. I will first explore the style of Wu's translation, followed by Li's and Zhao's.

3.3. Wu's Translation

Wu's translation has been favourably received and much-quoted; its fluency, naturalness and faithfulness are highly appreciated. It was adapted by Li Rucheng (2002) as an introductory guide to the novella for secondary students in China, showing its popularity in schools. Wu's language is similar to Hai's, formal and refined, yet still intelligible to the general public. But compared to Hai's, Wu's is even more like modern Mandarin with the use of more lively and current expressions. The choice of a higher register of language suggests that Wu's version is intended more

for the educated class rather than the popular taste. This corresponds to the general orientation of the publisher of the work – Shanghai Yiwen, where Wu worked as an editor since 1981. It is a great general publisher in China, publishing mainly scholarly and translated literary works, dictionaries and textbooks of foreign languages. Its editors all possess professional knowledge and have a very high proficiency in foreign languages and Chinese. It has won an award for its series of twentieth-century translated literature for its interesting topics, elegance and high scholarly values. In 1992, it was recognised by the Central Propaganda Department of the General Administration of Press and Publication of the PRC as one of the best early publishers (“Shanghai Yiwen,” 2007a).

Wu’s efforts in his translation are clear from his detailed research into the background to the story, as introduced in the preface, as well as the thirty-five clear footnotes provided to explain the Spanish vocabulary and unfamiliar places and concepts. His version is the closest to the original among the four, with few adjustments made in the translation of the five process types, and even less in that of the various types of modal operators. The changes are mostly mild additions of concrete details of the five process types. Wu tends to adhere closely to the original unless modifications are required by inherent language differences. This is particularly conspicuous in his translation of the modes of point of view interwoven with the speech and thought presentation. The sequences of events, the reporting clauses, coupled with the quotation marks enclosed in the reported clauses of DS are all replicated similarly. There are no transpositions of reporting clauses as those found in the other versions. Sentence breaks and even the use of punctuation closely follow the original.

Wu’s translations of literary works are commended highly by Sun (1996, pp. 154-156); he remarks that Wu has a preference for literal translation and he only

makes necessary adjustments to maintain fluency. Wu often manages to reproduce both the formal and spiritual resonance of the original. This is especially found in his distinguished translation of Jack London's *Martin Eden*, printed by Ping Ming publisher in 1955. I find that Wu uses a similar literal approach to translating Hemingway's short stories "Big Two-Hearted River: Part I and Part II," published in 1995, also by Shanghai Yiwun Publisher. The following are two examples as illustrations:

- (1) It was made heavy to lift back in the air and come forward flat and heavy and straight to make it possible to cast a fly which has no weight (p. 154).

它做得很粗，為了可以在空中朝後甩，再筆直而有分量地朝前甩，這樣才能把簡直沒有分量的蠅餌甩進水裡。(p. 251).

- (2) It went away slowly, the feeling of disappointment that came sharply after the thrill that made his shoulders ache (p. 158).

這種失望之感是在使他肩膀發痛的刺激襲來之後猛地出現的，現在慢慢兒消失了。(p. 255)

In the above examples, the concrete details of descriptions and the lexis are basically reproduced faithfully. The adjustments made to the syntactic structure, as indicated in underlined clauses owe more to the structural differences between English and Chinese than to Wu's deliberate stylistic choices. Based on the information gathered above, it looks likely that Wu's preference for literal rendering is his consistent style of translation, adopted since the 1950's when he worked as a professional literary translator and continuing into the open era after 1978.

It is interesting to discover that though Hai and Wu's translations of *The Old Man and the Sea* were done in two entirely different periods, they show many similarities. In fact, except for the striking differences in the rendering of FDT, Wu's style is quite close to Hai's. Both use vivid and strong expressions to capture the strenuous

actions performed by the old man on the fish; both are generally faithful, though Wu adheres even more closely to the original sequences of details. In addition, both use more formal and refined lexis with sparing use of colloquial expressions, though Wu's is more up-to-date, free of the occasional use of archaic diction and extensive lengthy premodifiers found in Hai's. The differences in the use of language between the two versions are probably caused by the evolution of modern Mandarin. The language had been normalised with time to become more consistent with daily speech in the late 1980s, as revealed in Wu's version.

Traced back to Wu's career history and works translated, he shares with Hai a common socialist-realist background. In fact, they both belong to the same group of translators translating literature widely in the Communist era. Wu started his career as a literary translator in Shanghai in the 1950's after finishing his university studies in English Literature. The works he translated in the 1950s are mostly American and Soviet realistic works such as Jack London's *Martin Eden* and *Iron Heel*, Frank Norris's *The Epic of the Wheat: The Octopus – A Story of California*, and Jorge Amado's *The Violent Land* (retranslated from Portuguese via English)⁶¹. The themes of all these works concern the exploitation of workers in a capitalist economy and their consequent hardship, criticism of fascism and suggestions of communist solutions to social problems. They were printed by Shanghai Xin Wenyi, Ping Ming and Zuo Jia publishers in the 1950s, which were all state-owned publishing houses specialising in the publication of Soviet works. Wu himself joined the China Democratic League in 1956, which was a legally recognised political party established in 1939, formed by intellectuals involving themselves in political liaisons and socialist reforms for the construction of socialism ("China," 2008). Even Shanghai Yiwun Publisher, where Wu worked as an editor since 1981 was formerly

⁶¹ See Chapter two – Section 3.4.4.1. for an introduction to Wu and works translated by him.

affiliated with the public Shanghai Xinwenyi and Renmin Wenxue Publishers (“Shanghai Yiwen”, 2008b). It implemented an eight-year plan in 1979, with one of the aims “to publish foreign proletarian revolutionary literary works; and foreign realistic works that reflect the need and deed in national and democratic struggles; and the works that reflect and let people know the real life and struggle in the capitalist countries” (quoted in Wang Qijian, 1995, p. 371). This shows the publisher’s still conservative orientation in the early post-Mao period.

Both Hai and Wu replicate closely the syntactic structure of the original on the basis of idiomatic Chinese. The similarities between the two versions and their common socialist-realist inclination suggest that they both belong to the same cohort group in the Maoist era, which championed the use of literary language elevated on the basis of the language of the masses, privileged fidelity and limited Europeanization, and unfavoured the adoption of regional dialects in prose writing. I find further support for Wu’s strong socialist tendency from his other writings. In his own autobiographical description of his life under Communist rule, entitled “Two Big Historical Inversions in Half a Century” [Ban Shiji Nei de Liangci Lishi Da Diandao] (“Wu Lao,” 2008), he mentions that during his studies at Shanghai St. John University, he learnt the Marxist doctrines and mastered the language of class struggle in translating progressive literary works, fulfilling the requirements for a Communist Party member. More evidence is found in the preface he wrote for his translation of John Barth’s *Lost in the Funhouse*, published in *Foreign Literature* in 1979. He criticises the work for simply being a play on words, describing the consciousness of a teenager boy superficially on the basis of Freud’s psychoanalysis. This is the usual way translators criticised the work they translated by the yardstick of realism, for the purpose of defending themselves against political risks not long after the Cultural Revolution (Xia & Cha, 2000, p.63, p.70). All this suggests that even though Wu rendered the

novella in the new era of 1987, he was still influenced by his past socialist-realist background in maintaining fidelity strictly, leaving his fingerprints in his translation.

3.4. Li's and Zhao's Translations

Unlike Wu's close replication, Li's and Zhao's translations show obvious adjustment to the market in their experimentation with narrative techniques and the use of colloquialism. In the open period, restrictions imposed on literary freedom were relaxed. The trend of modernism revived in an atmosphere promoting diversification of themes and styles. By 1985, vast numbers of modernist literary works were being translated into Chinese. Modernism, ranging from its literary concepts, principles and methods, to its manner of presentation, language habits, syntactic structure and the use of punctuation were all introduced to and imitated by Chinese readers. Among all those modernist techniques, stream-of-consciousness received the most attention of novelists. They assimilated new techniques such as multiple-point-of view, free association, interior monologue, free indirect discourse, time montage, objective descriptions conveying sensory perceptions, shifting the focus of narrative from external actions to the internal consciousness of the mind beyond the boundary of time and space (Dong, 2001, p. 25; Chan, 2004b, pp. 682-684; Cui, 2005, p. 28; Xu, 2006, p.16).

Situated in the context of the boom of stream-of-consciousness imitations and translations in the 1980s, both Li's and Zhao's versions display new linguistic and stylistic features that are not found in the original and the other two versions, particularly in the rendering of FDT and the choice of diction. For example, they both invent marked syntactic structures, producing special stylistic effects that attract attention. In addition, Li uses rhetorical questions and changes declaratives into interrogatives. In the rendering of FDT, he has two instances of changing the IT to

FDT by creating two reporting clauses with a colon after each, expressing the old man's thoughts in the first person; an instance of fronting a reporting clause and adding in a colon to signal the presence of the narrator, a few instances of restructuring the reporting clauses like breaking two DS presentations of the same paragraph into two; modifying the reporting clauses "the old man promised" to "老人暗下決心," "he thought" to "他盤算好" and "他總想著大魚." As for Zhao, he has a few instances of adding the clausal particles "吧," interjections "哼," "噫" and an exclamation mark after the newly-created clause "這還用說!"; moving the vocatives such as "魚," "兄弟," "頭," to the beginning of a clause instead of placing them at the end as the original. Similar to Li, he renders the reporting clauses "he thought" interestingly into varied expressions like "他心裏在說," "他心裏說," "他估計," "他心裏在問," representing the old man's monologues in a more lively manner.

In terms of diction, both Li and Zhao use more lively, creative and colloquial expressions, compared to the more formal, literary and conventional expressions of Hai and Wu. Zhao, in particular, employs some playful expressions, in marked contrast to the more solemn tone of Hai and Wu. He also experiments with monosyllabic and onomatopoeic words, producing a brisk rhythm and a lively tone in describing the quick motions of the old man to pull the line to catch the fish. Moreover, he adopts a variety of colloquial and the Beijing dialect "*er hua*" (兒化) expressions after the noun phrases such as "原道兒," "半晌兒," "打轉兒," producing a strong colloquial flavour in the rendering of conversations and scenic descriptions. This is highly praised by Wang Ji (1989), showing at least one reader's positive reactions towards the use of colloquialism in the new age. Another similarity of Li's and Zhao's translations that differentiates them from the other two versions is their use of lighter expressions in describing the old man's actions performed on the fish. In the rendering of a series of imperatives, they both adopt relatively moderate modal

adverbs in combination with mild verbs to describe the way the old man keeps the fish in check. Particularly, Zhao conveys a much slower rhythm and a milder tone in transposing a series of imperatives into a succession of six-word parallelism, toning down the old man's self-commands. Overall, he lays less stress on the way the old man grabs the chance to harpoon the fish and his efforts to endure hardship, creating a relatively more relaxed mood in the description of the battle.

It is reasonable to assume that Li and Zhao modified their language and style in some ways to adapt to the taste of the consuming masses, though they were still mindful of the quality of their translations. As China opened her door and accelerated her pace of economic development, popular culture began to boom all over the country. Popular literature and translated literature portraying sex and violence dominated the market. At the same time, many publishing houses ran into deficit as a result of the loss of government funding and fierce competition since the mid-1980s. In order to survive the market economy, publishers were compelled to change and to adapt to the changing needs of readers (Wang Wei, 2006, pp. 20-22). Both Sichuan Wenyi and Lijiang Publishers, who brought out Li's and Zhao's translations, seem have their production oriented towards the masses, but not along the commercialised route. They are both big publishers with a very good reputation for publishing over 3,000 titles of literature, translated literature, literary theory, poetry, drama, education, culture, travel, and so forth, serving different types of readers ("Sichuan Wenyi Publisher," 2007; "Lijiang Publisher," 2007). Judging from their title lists, they both target a broad spectrum of the general public. Sichuan Wenyi publisher has won awards for its packaging and design of books; and Lijiang publisher is famous for launching a series of translated works of Nobel writers, which is regarded as quality works "from the collection of information, selection of texts and translators, to the quality of translations, congruence of style maintained and so on," gaining fame in

both the local and overseas markets (Liu, 2001, p. 33). In addition, Lijiang's orientation towards popular literature by employing the language of the masses, with the aim of raising the general public's standard of appreciation through enhancing the quality of literary production is highly appreciated by the general reader (He, 1990, p. 107). In view of this context, it is not surprising to see Li and Zhao making notable modifications in their translations in conformity with the general trend of the two publishers towards popularisation of culture and literature. They may deliberately have used lighter, more lively and colloquial expressions to appeal to wider readerships.

3.5. Li's Translation

Though Li and Zhao share some similarities in their language and style, each still reveals unique characteristics. Li has a preference for four-character idioms in scenic descriptions. The mixture of literary and colloquial lexis gives his translation a special flavour. Li's version is also the roughest of the four, and consistently makes the most drastic adjustments in all the features selected for study. Omission and modification are Li's prominent strategies, except for in the translation of relational processes, he uses more additions (ten instances) to elaborate on the old man's moods in battling with the fish and his born duty to catch it than omissions (seven instances) of information. The frequent use of omissions accounts for Li's version being considerably shorter compared to the others. It seems an uncommon translation practice to omit rather than to explicate information, reproducing relatively reduced pictures of descriptions. Furthermore, he employs modification extensively to transpose the original images into new ones. Some details are regularly omitted, while some new elements are incorporated into the target text to produce different images in the portrayals of events and actions.

Li's background as a poet and some of his writings on translation provide some hints to his tendency of translating. Li himself is a learned scholar, poet, literary translator and university professor. He majored in English Literature in Shanghai Fu Dan University; knows English, French and Russian well; and specialises in compiling Russian-Chinese dictionaries. He translated works from Russian (mostly poetry), English and French into Chinese, and wrote many articles on linguistics, logic and criticisms of foreign literature works. His translation of Aleksandr Sergeyevich Griboyedov's *Gore Ot Uma* (*Wit Works Woe*, published in 1980) into a similar form of poem, which is a realistic work depicting the corruption and conflicts of the upper society at the time of Russian Revolution, was commended highly by Mao Dun (Ye, 2007). He is good at creating regulated seven-word poems of four lines in classical language, as demonstrated in the ten short poems about *The Old Man and the Sea* which he composed as the afterword of his translation, and a collection of his poems *Shuang Tian Xing Ying* [霜天星影], published in 1995. Indeed, he very much reveals his personality in creating the poems about the novella, inventing a series of new scenarios on the basis of the original story; for example, he expresses his identification with the old man in dreaming of a snowy mountain, a cold and clear setting where he seems to have a sense of awakening upon accomplishing the translation. This is the usual way he introduces new details to reproduce different pictures. He adopts a similar technique in translating Shelly's sonnet 'Ozymandias' (1983), which is full of transposed images in describing the sculpture of the tyrannical King, such as “從遠方古國歸來一位朋友， / 他走過荒蕪人煙的千里沙丘，” (transformed from “I met a traveler from an antique land / Who said:”); “儼然當年一代人主的驕矜” (from “and sneer of cold command”); “多號石工悉心體會 (from “Tell that its sculptor well”) “活生生刻下了睥睨萬世的豐神” (from “those passions read / Which yet survive, stamped on these lifeless things”). In all these examples, the essence of the autocracy of the King is represented in a new form, and the translator's voice in

bringing in novel elements is apparent. In fact, Li (1983) himself upholds the principles of “approximation” and “adjustment” in translation, allowing himself leeway in rendering poetry flexibly, as he mentions in the rendering of the sonnet (p. 73). In translating the last two lines of the poem, he discloses that he deliberately transforms the original declarative statement into a rhetorical question – “請問還留下什麼屬萬歲陛下, / 莫非那普天之下的莽莽黃沙?,” distinguishing public resentment against the tyranny of the King, which is far more effective than his first version of using a common cliché in Chinese poetry – “簡直是什麼也未曾留下, / 除了那一望無際的莽莽黃沙!” (ibid.). Li’s views on translation as expressed in a few of his articles seem to support a broader notion of “faithfulness” versus the traditional narrow definition of “equivalence.” In his short article “My Reflections on Translation” (1987), he suggests translating according to the translator’s preferences (從吾所好) and making modifications in accordance with the language requirements, the specific conditions, purposes and methods of translation. In light of the above findings, it seems that Li’s tendency to use omission, modification and four-character idioms in translating the novella, somehow, is influenced by his background as a poet and a liberal view on translation. He may habitually opt for more concise descriptions and four-character literary expressions as in composing poetry, and follows his instinct in bringing into the target text his own newly-created images.

3.6. Zhao’s Translation

In contrast to Li’s version, Zhao’s is the most creative among the four in reordering the sequences of information flexibly to reproduce different emphases or stylistic effects in descriptions. Restructuring of the sequences of details and addition are his outstanding strategies used. The additions are mostly presuppositions or inferences made explicit to explicate the specific contexts in which events take place. Furthermore, modifications are occasionally used to reproduce slightly shifted

images. Yet compared to Li, Zhao makes less drastic adjustments; his translation replicates the original to a greater degree. He is particularly notable in providing detailed footnotes to explain unfamiliar vocabulary and concepts; he even adds a few notes in-text to explain locations and Spanish vocabulary. All these show his serious efforts in rendering the work. It is hard to find out the motivations behind Zhao's special rendering, since he does not seem to have translated much and I cannot find much information about him, except that he is a researcher of Foreign Languages and Literature Research Institute of the Chinese Academy of Social Sciences. Other than *The Old Man and the Sea*, he also translated Herbert Ernest Bates's (1941) criticism "Hemingway's Short Stories," and Virginia Woolf's *The Common Reader* and *The Second Common Reader* with other translators, first published by Yuan Liu Publisher in 1993. ("Zhao Shaowei," 2008). However, in the preface of *From Nick's Stories to The Old Man and the Sea*, the collection of translated works of Nobel writers published by Lijiang Publisher, the editor Dong Hengxeng mentions that "the new version of the novella is more accurate and closer to its original form" (Wang Ji, 1989, p.1). It hints that the editor is still bound by the criterion of "faithfulness" in judging the old version of Hai's translation. The comment may imply that the language and style of Hai's version can be modified to reproduce the original better. This remark may suggest that the novella was deliberately retranslated into a new form different from the old, as reflected in Zhao's more lively and colloquial style. In fact, Lijiang was known to be planning a series of translated works of Nobel writers since 1982. It was a big project well planned in all aspects, including the selection of topics and translators, the monitoring of quality, the maintenance of consistency in style. It was carried out over a period of twenty years, gaining a very good reputation in the market (Liu, 2001, P. 33). Lijiang is also highly regarded for its orientation towards the promotion of popular literature by using the language of the masses, with the aim of enhancing the general public's aptitude for literary appreciation through

raising the standard of production (He, 1990, p. 107). Hired by a big publisher to translate the novella as a series of works by Nobel writers, Zhao may not have been entirely free to translate in his own way, but may have been expected instead to fulfill the commissioner's requirements for fitting into an integrated long-term project designed by the publisher.

4. Conclusion

Through the analysis made in this chapter, I found a close relationship between the style of the translation and the specific sociocultural environments of its production; for example, I discovered notable differences between Hai's translation as one set and Li's and Zhao's as another in the use of language, the rendering of speech and thought presentation, and the representation of the image of the old man. I attributed these variations to the particular circumstances under which the translator(s) operated such as Hai in a period of ideological control and seclusion under Mao's rule, as against Wu, Li and Zhao in a new epoch of diversity and openness after the Cultural Revolution. This is revealed most markedly in Hai's use of more conventional, formal and literary diction and a more conservative approach to rendering free direct thought, as well as his emphasis on the old man as undefeated hero; which is contrasted sharply with Li's and Zhao's use of more creative, lively and colloquial lexis, their experimentation with modernist techniques in rendering speech and thought presentation, coupled with a relatively lighter mood in representing the old man's battle with the fish. Yet there is an interesting finding as regards the three translations done in the post-Mao era in that they still display their unique characteristics even though they were rendered in similar sociocultural environments. I explained this in terms of the translators' particular backgrounds or location; for example, Wu's predilection for literal translation might be influenced by his past

socialist-realistic orientation; Li's tendency to omit details, to create new images on the basis of the given ones and to use four-character literary expressions might be the prominent characteristics of his style as a poet, and shaped by his more liberal view on "faithfulness"; Zhao might have to fulfil the requirements of the commissioner – Lijiang Publisher – in translating *The Old Man and the Sea* as a series of translated works of Nobel Writers, which was a big project carried out since 1982. All in all, the translator's decision-making process is a result of an amalgam of factors which cannot be fully assessed or predicted even by an integrated method of combining textual analysis and contextual exploration as I attempted in this research. As Munday (2008) remarks, style in translation is "non-systematic," "not scientific," and "there is always an element of choice and poetic taste" involved (p. 227).

Conclusion

I introduced my interest at the beginning of this thesis in exploring the visibility of the various translators who translated Hemingway's *The Old Man and the Sea* in two different periods of modern China. I adopted a holistic approach, integrating the tools of systemic linguistics, corpus studies and sociohistorical research to capture the translators' discursive presence in the texts. The methodology combines internal textual analysis with external exploration of sociocultural context. I examined the styles of four translators in translating the novella into Chinese in the early Communist era in 1956 and in the post-Mao opening period in 1987. The original contribution of my research lies in demonstrating the feasibility of integrating the three tools to form a coherent methodology for the study of style in translation, and in particular, in testing the applicability of Halliday's (1994) transitivity model and Simpson's (1993) model of point of view for the analysis of Chinese texts. Thus, in the present conclusion of the thesis, I will address in three separate sections the issues regarding (1) the applicability of the two linguistic models for translation comparison between English and Chinese; (2) the merits and limitations of Munday's (2002) systemic model for descriptive translation studies, and (3) my suggestions of some work that might be considered in future research. I will begin with my evaluations of the two linguistic models in section one below.

1. Applicability of Systemic Functional Grammar for the Analysis of Chinese Translated Texts

1.1. Halliday's (1994) Transitivity Model

I employed Halliday's (1994) transitivity model to study five types of verbal representation of the old man's experience of the world. I compiled a total of 1,277

clauses of 52 sub-categories of the material (711 clauses, 15 subcategories), mental (257 clauses, 23 subcategories), behavioural (56 clauses, 4 subcategories), relational (206 clauses, 8 subcategories) and existential processes (47 clauses, 2 subcategories) in the corpus of the three-day battle in *The Old Man and the Sea*. Nine subcategories are finer distinctions of the material processes (categories 1.A.1. to 1.C.3.) divided according to the actions performed by the old man on the line, harpoon, coils; the fish, shark, dolphin; or those by the old man's body parts – his hands, mouth, head and so on. Other than these sub-categories, all others belong to the subcategories of the five process types of the transitivity system (see Table 3.31. in Chapter three of the thesis for the fifty-two categories of the five process types of the *Old Man and the Sea* corpus). Through my analysis of the parallel corpus of the novella, I found that all the sub-categories of the five process types identified in English, indeed, have their similar counterparts in Chinese, except that because of the inherent differences between the two languages mainly with regard to (1) the aspect and phase systems, (2) the configuration of the participants in the process, and (3) the construction of elements in the clause, sometimes some of the clause constituents of a particular process type in English may appear in a different form or expressed in a different process type in Chinese. The following are some examples:

- (1) Differences in the aspect and phase systems (e.g. the unmarked perfective phase in English is changed to the unmarked imperfective aspect in Chinese)

The unmarked phase of a verb in English is completive which implies the closure of the process while that in Chinese is the inceptive / conative which assumes the unfolding of the process (Halliday & Matthiessen, 1999, p. 308). Therefore, sometimes the perfective phase in English is shifted to the imperfective verbal aspect in Chinese by the use of the progressive markers “著” and “住”:

1. and he steered with the tiller under his arms (512)

他把舵柄夾在胳膊窩裏掌著舵 (Hai, 512)

2. and put his foot on the coils (406)

一隻腳踩住釣絲卷兒 (Hai, 406)

3. and he pushed against the wood to be warm (690)

他就抵著木頭取暖 (Hai, 690)

- (2) Differences in the configuration of participants in the process of a particular process type (e.g. quality attributes construed as “nominals” in intensive attributive clauses in English are changed to “verbals” in Chinese)

In English, while qualities of participants are realised by nominals in the form of adjectives in intensive attributive clauses, they are construed as verbals in the form of adjectival verbal groups in Chinese (Halliday & McDonald, 2004, p. 358):

4. He was sorry for the birds (1035)

他替鳥雀們傷心 (Hai, 1035)

5. The old man's head was clear and good now (1043)

老頭兒現在的頭腦是清醒的, 正常的 (Hai, 1043)

6. 'You're tired, old man,' he said. (1052)

“你累乏啦, 老頭兒,” 他說 (Hai, 1052)

- (3) Differences in the construction of elements in the clause (e.g. circumstantial elements construed as minor processes in English are changed to full processes in Chinese)

A Circumstance, realised by a prepositional phrase, is construed as a minor process in English, whereas in Chinese, it can be constructed as a figure on its own, realised by a coverbal phrase (a coverb is a preverb – prepositive verb, similar to a prepositional phrase in English) plus a postnoun of position or facet or a verbal group

as a full process (Halliday & Matthiessen, 1999, p. 308; Halliday & McDonald, 2004, p. 317).

A prepositional phrase in English is changed to a verbal group in Chinese:

7. and put the skiff on her course (33)

然後按照原來的路線把船開回去 (Hai, 33)

8. and allowed himself to be pulled forward against the wood (76)

他靠著木板讓自己被拖向前去 (Hai, 76)

A prepositional phrase in English is changed to a coverbal phrase plus a postnoun of position or facet:

9. and he loved to walk on them on the beach after a storm (953)

他喜歡在一場風暴過後 在海灘上 踩在它們身上 (Hai, 953)

Despite the differences mentioned above, I found the overall construction of the five process types and their clause constituents share many similarities between English and Chinese. As Halliday and Matthiessen (1999, p. 314) remarks:

Chinese and English share many common features in the construction of the ideational base. Thus, if we consider how they construe happenings as '**quanta of experience**' the two languages are to a large extent congruent: Chinese sequences tend to correspond to English sequences, and Chinese figures to English figures.

Likewise, Halliday and McDonald (2004) observe that Chinese and English share a similar metafunction / rank matrix despite the notable differences in that the lowest rank operates in the group rather than the word in a clause, and the functions between certain ranks are sometimes indeterminate (pp. 312-313). Though there are

differences in some of the elements of the transitivity system between the two languages, generally I was still able to apply the model to categorise systematically five types of clauses in the English original, on the basis of which I managed to compile a corresponding profile of linguistic features for the Chinese target texts for translation comparison. However, difficulties would be encountered if I applied the model the other way round to first categorise various types of clauses in a Chinese text, and then sought to identify shifts in an English target text. In such case, some kind of adjustments is needed in order to make the model serviceable for the analysis of Chinese texts. However, due to space considerations, in the following, I will just concentrate on explaining how the transitivity model would need to be adapted for the analysis of (1) aspect and phase, (2) coverbal phrase, (3) the dispositive *bǎ* construction, (4) circumstance preceding process and (5) serial verbal construction, since all these are unique and prominent features in Chinese that should be analysed specially by a SFG model that is specific to Chinese. The suggestions given are by no means exhaustive, but they are some of the features that appear to be notably different from English in the corpus I compiled. I will first introduce under each category the concepts concerned, then provide the breakdowns of some examples chosen from the transitivity corpus as illustrations.

1.1.1. Aspect and Phase

Chinese is non-inflectional; time is not construed grammatically as tense, but as aspect. A process is not construed as past, present or future relative to the time of speaking, but as imperfective or perfective relative to the context. There are two major temporal systems in Chinese: Aspect and Phase. They are essential for the definition of process types since different kinds of process have different implications with regard to time. In Aspect, a process is construed as “imperfective” (ongoing), “perfective” (culminating indicating closure) or “neutral” (an unmarked option).

Perfective aspect includes (i) perfective proper and (ii) experiential; imperfective aspect includes (i) durative and (ii) progressive (Halliday & McDonald, 2004, p. 353, p. 380). The system of verbal aspect is illustrated in Table 7.1. below.

Table 7.1. Verbal Aspect in Chinese

Aspect Type		
neutral		打 “hits”
perfective	perfective proper	打了 “has hit”
	experiential	打過 “has once hit”
imperfective	durative	打著 “is (in the state of) hitting”
	progressive	在打 “is (currently) hitting”

There are two separate aspect systems in Mandarin. The first is verbal aspect, marked by a particle or a coverb (在) attached to the verbal group in the case of the progressive; the second is clausal aspect, marked by a particle in the final position of a clause. In Chinese, the unmarked process is inceptive / conative (i.e., it implies attempt and marks the phase of success), whereas in English, the unmarked process is completive (i.e., it implies success and marks the process of attempt) (Halliday & Matthiessen, 1999, p. 308; Halliday & McDonald, 2004, p.9, pp. 381-383). The following are some examples of verbal and clausal aspects:

Table 7.2. Verbal (Perfective) Aspect

10. 揍	了	它	一下 (Hai, 208)
Process (material)	Aspect (verbal: perfective)	Goal	Circumstance (manner)

11. 我們	請求	了	她的寬恕 (Hai, 257)
Actor	Process (material)	Aspect (verbal: perfective)	Goal

Table 7.3. Verbal (Imperfective) Aspect

12. 抓	<u>住</u>	細釣絲 (Wu, 2)
Process (material)	Aspect (verbal: imperfective)	Goal

13. 掌	<u>著</u>	舵 (Wu, 513)
Process (material)	Aspect (verbal: imperfective)	Goal

Table 7.4. Clausal (Perfective) Aspect

14. 他	感到	自己要垮	<u>了</u> (Wu, 231)
Senser	Process (mental)	Macrophenomenon (act)	Aspect (clausal: perfective)

15. 他	覺得	大概	他已經死	<u>了</u> (Hai, 826)
Senser	Process (mental)	Circumstance (manner)	Macrophenomenon (act)	Aspect (clausal: perfective)

As for the system of phase, it contains two categories: neutral and completive. Completive phase divides into two subtypes: directional and resultative; both types are realised by the addition of postverb. The directional subtype of postverb divides into vectorial (ascend / descend, enter / exit, cross, return, rise) and orientational (come / go, i.e. towards / away from the speaker). Resultative postverbs contain six classes: qualitative, mental, change of state, directional, phasal and exhaustive, as proposed by MacDonald (1994, pp. 337-342, quoted in Halliday & McDonald, 2004, p. 383). Table 7.5. below lists some examples of the two types of completive phase:

Table 7.5. Phase System in Chinese

Phase Type			
neutral	釣		
	directional (realised)	vectorial (ascend / descend, enter / exit, cross, return, rise)	可是你 <u>收不上來</u> 繩子 (Zhao 90) Process + Postverb (vectorial: ascend) <u>直割到</u> 肚子邊 (Wu 57)

completive	by a postverb)		Process + Postverb (vectorial: enter)
		orientational (come / go)	把這魚拖回去 (Wu 49) Process + Postverb (orientational: come)
	resultative (realised by a postverb)	qualitative	鋪開曬乾 (Zhao 407) Process 1 (material) + Postverb 1 (resultative: qualitative) + Process 2 (material) + Postverb 2 (resultative: qualitative)
		mental	看見 (Hai 717) Process (mental) + Postverb (resultative: mental)
		change of state	把它割斷 (Hai 55) Process (material) + Postverb (resultative: change of state)
		directional / positional	把對方的手壓得低下 (Li 349) Process (material) + Postverb (resultative / directional) 從舵上曳掉 (Hai 187) Process (material) + Postverb (resultative / directional)
		phasal	夠著釣絲 (Li 628) Process (material) + Postverb (resultative: phasal)
		exhaustive	乾掉了 (Wu 558) Process (material) + Postverb (resultative: exhaustive) + Aspect (clausal:perfective)

1.1.2. Coverbal Phrase

Coverbal phrase is a unique class of phrase in Chinese. It is formed by a coverb and a nominal group, which is analogous to a prepositional phrase functioning as a minor process in English. The coverbs commonly used in Chinese are “給,” “跟,” “在,” “到” and “向.” They indicate circumstantial meanings related to place, accompaniment, means and so on. A locative phrase preceded by a coverb contains a nominal group modified by a postnoun of position. The coverb indicates the location or direction, and the postnoun the relative position or facet. A coverbal phrase follows a verb. It is circumstance that expresses the outcome of the process (Halliday & McDonald, 2004, p. 317, p. 378). The following are some examples.

Table 7.6. Coverbal Phrases

16. 給	老頭兒 (Hai 207)		
coverb	nominal group		

17. 跟	它倆	鬥 (Hai 332)	
coverb	nominal group	verb	

18. 靠	在	船梢	上 (Hai 338)
verb	coverb	nominal group	postnoun

19. 拖	到	船	跟前 (Hai 401)
verb	coverb	nominal group	postnoun

20. 倒	向	船頭	裏邊去 (Hai 678)
verb	coverb	nominal group	postnoun

1.1.3. The Dispositive *bǎ* Construction

The *bǎ* Construction is unique in Chinese. The coverb *bǎ*, meaning, “to grasp,” moves the object before the verb in the pattern of “subject + *bǎ* + object + verb.” The noun phrase or object following *bǎ* is particularly favoured when the Goal is clearly indicated and the Process is extended by completive

or non-completive phase, often completive by perfective aspect. The *bǎ* Construction is mainly found in material clauses, and a few in verbal and mental clauses marked for completive aspect (ibid. p. 374).

Table 7.7. The Dispositive *bǎ* Constructions

21. 把	那根釣索	割	斷	了 (Wu 52)
Dispositive <i>bǎ</i>	Goal / Nominal Group	Process (material)	Postverb (resultative: change of state)	Aspect (clausal: perfective)

22. 把	雙股的繩子	打	了	個結子 (Hai 195)
Dispositive <i>bǎ</i>	Goal 1 / Nominal Group 1	Process (material)	Aspect (verbal: perfective)	Goal 2 / Nominal Group 2

23. 他	把	麻袋	按	平 (Hai 341)
Actor	Dispositive <i>bǎ</i>	Goal / Nominal Group	Process (material)	Postverb (resultative: change of state)

1.1.4. Circumstance Preceding Process

The basic order of elements in the ideational metafunction between English and Chinese is quite similar; the major difference is that in Chinese, most circumstances come before the Process rather than after it as in English (ibid. p. 313).

Table 7.8. Circumstances before Processes

24. and cut strips of dark meat <u>longitudinally from the back of the head to the tail</u> (56)						
從魚的頭動到魚尾巴,	把	深紅色的魚肉	一長條一長條	地	割	下來。(Hai 56)
Circumstance (spatial location)	Dispositive <i>bǎ</i>	Goal / Nominal Group	Circumstance (manner)	<i>de</i> particle	Process (material)	Postverb (directional: vectorial)

25. and he loved to walk on them <u>on the beach after a storm</u> (953)						
他	喜歡	在 一場風暴過後,	在 海灘上,	踩	在 它們身上	

					(Hai 953)
Actor	Process 1 (mental)	Circumstance (temporal location)	Circumstance (spatial location)	Process 2 (material)	Circumstance (spatial location)
		Coverb + Nominal group + Verb + Postverb (time)	Coverb + Nominal Group + postnoun		Coverb + Nominal Group + Postnoun

26. He used both of his hands <u>in a swinging motion</u> (323)					
他	一把接一把	地	使用	著	他的雙手 (Hai 323)
Actor	Circumstance (manner)	<i>de</i> particle	Process (material)	Aspect (verbal: imperfective)	Goal / Nominal Group

The Circumstance preceding the Process is most obvious in existential processes, in which the circumstantial element is moved to the initial position of the clause to become typically thematic (ibid. p. 355).

Table 7.9. Circumstance before Process in Existential Process

27. There were high cumulus clouds and enough cirrus <u>above him</u> (1249)					
頭上	有	高高的積雲，	還	有	很多的卷雲 (Hai 1249)
Circumstance (spatial location)	Process 1 (existential)	Existent 1 (Nominal Group)	Adverb	Process 2 (existential)	Existent 2 (Nominal Group)

28. There were other boats from the other beaches going out <u>to sea</u> (1231)							
別處海灘上	也	有	其他一些船隻	駛	出	海	去 (Hai 1231)
Circumstance (spatial location)	Adverb	Process (existential)	Existent (Nominal Group)	Process (material)	Postverb (directional: vectorial)	Nominal Group	Postnoun

1.1.5. Serial Verbal Construction

In Chinese, a number of verbal elements can be combined freely with no marking of

the relationship between them. They are labeled “serial verbal construction,” which makes it difficult to differentiate verbal group from clause and verbal group complex from clause complex (ibid., p. 311, p. 314). A serial verbal construction normally consists of two or more verbal groups which share the same subject and follow one another without any conjunctions (Yip & Rimmington, 1997, p. 126).

Table 7.10. Serial Verbal Constructions

29. He <u>hit</u> it with his blood-mushed hands <u>driving</u> a good harpoon with all his strength (201)				
他	鼓	起	全身的氣力	用
Actor 1	Process 1 (material)	Postverb (directional: vectorial)	Range / Nominal Group	Coverb 1
他染了血的 手	把	一杆鋒利無比 的魚叉	紮了	進去
Actor 2	Coverb 2	Goal / Nominal Group	Process2 (material) + Aspect (verbal:perfective)	Postverb (directional:vectorial)

In the above sentence, the minor processes realised by circumstances “with his blood-mushed hands” and “with all his strength” are changed to full processes as verbal groups in Chinese. The sentence is a serial verbal construction containing two material processes – “鼓起” and “紮” – and two coverbs – “用” and “把” – strung together to refer to a series of actions performed by the old man to harpoon the fish. The relationship between the series of verbal groups is not explicitly indicated.

30. I can do that a little later and lash the oars (265)					
遲一會兒	我	可以	同時	把	海豚的腸肚
Circumstance (temporal location)	Actor	Modal Verb	Circumstance (temporal location)	Coverb 1	Goal 1 / Nominal Group
取	出來	又把	兩個槳	綁	在一起
Process 1	Postverb	Adverb + Coverb 2	Goal 2 /	Process 2	Postverb

(material)	(directional: vectorial)		Nominal Group	(material)	(resultative: change of state)
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The above clause complex is a serial verbal construction containing a modal verb – 可以, two material processes – 取, 綁 – and two occurrences of the coverb “把” used consecutively to describe the actions performed by the old man simultaneously to gut the dolphin and lash the oars.

1.2. Simpson’s (1993) Model of Point of View

I employed Simpson’s point of view model (1993) to identify shifts in the rendering of a range of deontic, epistemic and boulomaic modals and generic statements, coupled with direct speech (DS) and free direct thought presentation (FDT) and transitions of modes of point of view. I compiled a total of 111 clauses (fifty-four deontic modal operators, three generic statements, forty-six epistemic and eight boulomaic modal operators) in the corpus of the third day’s battle of the old man with the marlin. I also identified the modes of point of view and their transitions, which are realised by the interaction between the type of modality and the viewing position of the narrator as well as the mode of speech and thought presentation employed. I found fifty-four instances of positive shading modality (seventeen fall into B(N)+ve, thirty-seven into B(R)+ve) and fifty-seven instances of negative shading modality (eleven fall into B(N)-ve, forty-six into B(R)-ve. Unlike the study of transitivity by Halliday’s (1994) model, for modality, I focused on investigating the lexicogrammatical realisation of individual modal operators rather than their relationship with other components in the clause (such as that between the process, participants and circumstances). Thus, I did not encounter the difficulty posed by the differences in the construction of clause constituents between English and Chinese that I found in the transitivity system. Indeed, I found that Simpson’s model of point of

view, overall, works well for the analysis of Chinese texts, including the range of modals and speech and thought presentation; and the similarities appear to be more striking than the differences between the two languages in the modality system. For the various types of modals used in the English original, I found their similar counterparts in the Chinese translations (see Table 4.5. for the four Chinese translations of the deontic and boulomaic modals, and Table 4.7. for those of the epistemic modals in Chapter four of the thesis).

According to Halliday and McDonald (2004, p. 339), in Chinese as in English, the system of modality comprises modalization (the expression of probability) and modulation (the expression of inclination and obligation). There is a continuum of values in the realms of modalization and modulation in both languages. The clause components in the interpersonal metafunction in Chinese generally comprise the Subject and the Predicator, supported by a number of verbal adverbs and particles. The Predicator is realised by a verbal group, which typically consists of (i) a verb as Event, with or without (ii) preceding modal auxiliary verb⁶² realising modality (iii) following postverb, realising phase (iv) preceding or following verbal particle(s) realising polarity and aspect. The subject is realised by a nominal group, which can be present or presumed by ellipsis (ibid., p. 330). The following are some examples of clauses in the interpersonal metafunction in Chinese:

⁶² Modal verbs such as “can,” “shall,” “will,” “may,” and “must” are “members of a subgroup of auxiliary verbs, whose function in English is to express tense, mood, and voice of the main verbs of the sentence” (Han, 2005, p. 4).

**Table 7.11. Clause Constituents in the Interpersonal Metafunction
in Chinese**

31. Now I must prepare the nooses and the rope (1288)						
現在	我	得	準備	套索	和	繩子 (Hai 1288)
Circumstance (temporal location)	Subject /Actor	Modal Verb (obligation)	Predicator / Process (material)	Goal 1 / Nominal Group	Conjunction	Goal 2 / Nominal Group

32. You have to last (1302)			
我	可以	撐	得住 (Hai 1302)
Subject / Actor /	Modal Verb (ability)	Predicator / Process (material)	Postverb (resultative: phasal)

33. He could not talk to the fish any more (1310)						
他	不	能	再	跟	那條大魚	講話 (Hai 1310)
Subject / Actor	Polarity (negative)	Modal Verb (ability)	Adverb	Coverb	Goal 1 / Nominal Group	Predicator / Process (material)

As regards modalization, it is usually expressed by a modal adverb, analogous to English “probably,” “possibly,” “certainly” and so on. It typically follows the Subject, but may precede it, in becoming thematic (*ibid.*, p.339), as respectively in examples 34 and 35 below:

34. he had thought perhaps it was a dream (1347)						
他	也	以為	或許	這	是	一場夢 (Hai, 1347)
Subject	Adverb	Verb	Modal Adverb	Demonstrative Pronoun	Process (existential)	Existent / Nominal Group

35. but maybe I can get him (1352)						
但是	也許	我	可以	捉	住	它 (Hai, 1352)
Conjunction	Modal Adverb	Subject	Modal Verb	Process (material)	Postverb (resultative : phasal)	Goal / Nominal Group

Modulation, in contrast, is expressed by a modal verb, similar to English “must,” “should,” “may” and so on. It cannot precede the Subject (ibid.):

36. This time I'll pull him over (1318)							
這一次	我	會	把	它	曳	過來	的 (Hai, 1318)
Circumstance (temporal location)	Subject	Modal Verb (ability, probability)	Dispositive <i>bǎ</i>	Goal	Process (material)	Postverb (directional: orientation)	Particle

37. I can control mine (1300-1301)		
我	能	控制 (Wu, 1318)
Subject	Modal Verb (ability)	Process (material)

38. 'I'll rest on the next turn (1314)			
我	要	歇	一下 (Wu, 1314)
Subject	Modal Verb (obligation)	Process (material)	Range

Overall, I found English and Chinese share many similarities in the systems of modalization and modulation. In both languages, modality can be expressed by modal verbs (may, must, will, shall, etc.); modal adverbs (probably, perhaps, surely, etc.); and verbs of knowledge, prediction or evaluation (seem, believe, guess, etc.) Other than sharing a semantic scale in the notions of probability, inclination and obligation, the boundaries between deontic and epistemic modalities are not always clear cut, but tend to overlap. For instance, in the mini corpus studied, the modals “must,” “will / would” and “can / could” can be used to convey both deontic and

epistemic meanings, expressing the old man's deontic duty / ability to catch the fish such as "I must hold all I can" (1278) or his assessment of the possibility of the events occurring such as "they must have taken a quarter of him and of the best meat" (1293). It depends on the context to differentiate the meaning of the modal. In some cases, the same modal may have two possible meanings, allowing different interpretations. This is revealed in the different translations of the modal "will" in the clause – "Then in two or three turns more I will have him" (1315), in which Hai translates "will" into "要" to convey deontic duty; while Wu and Li translate it into "就能" and "就" to convey epistemic probability. Likewise, the modal "will" in "This time I'll pull him over" (1318) is interpreted differently – Hai translates it into "會," expressing the old man's assessment of his probability of hooking the fish; while Zhao translates it into "要," expressing the old man's self-command to catch the fish. Nevertheless, the major difference between English and Chinese with regard to modal verbs is that in English, all English modal verbs except "shall" can express both modality and modulation (Zhu, 1996, p. 206); whereas in Chinese, mainly "會" and "要" can be used respectively to express low and median degrees of probability other than obligation (Halliday & McDonald, 2004, p. 339).

Zhu (1996, pp. 189-205) compares the systems of modalization and modulation in English and Chinese from Halliday's systemic-functional approach. Based on the information introduced by him, I compiled a list of the modal operators of probability (Table 7.12.) and that of ability, inclination and obligation (Table 7.13.) as outlined below. They serve as useful reference for the study of the modality system in Chinese.

Table 7.12. Modalization in Chinese (Realisation of Probability)

Value	Modal Verbs
low	可能 (can) 會 (can)
high	該 (should)
Modal Adverbs	
high	一定 (must) 肯定 (must) 必定 (must) 準 (must)
median	大概 (probably) 多半 (probably)
low	也許 (perhaps) 或許 (perhaps)
Full Verbs of Knowledge, Prediction and Evaluation	
	相信 (believe) 估計 (estimate) 看 (think) 想 (reckon)

Table 7.13. Modulation in Chinese (Realisation of Ability, Inclination and Obligation)

Value	Modal Verbs of Ability
	能 (can) 能夠 (can) 可以 (can) 會 (can)
Modal Verbs of Inclination	
high (insistence)	要 (will)
median (intention)	想 (wish)
low (willingness)	願意 (will) 肯 (will)
Modal Adverbs of Inclination	
high	一定 (must) 偏 (must) 非 (must)
Modal Verbs of Obligation	
high (compulsion)	要 (must) 必須 (must) 得 (must, the most colloquial form)
median (expectation)	應該 (should) 應當 (should) 該 (should)
low (permission)	可以 (may) 許 (allow) 準 (allow) 得 (always used in its negative form – “不得” – to indicate prohibition)
Full Verbs and Nouns of Obligation	
	Verbs such as 要求 (require) 強迫 (compel) 讓 (let) 允許 (permit); nouns such as 義務 (duty) 責任 (responsibility) 許可 (permission)

Notes:

1. All the modal verbs expressing probability can be negated by the negative marker “不,” which precedes the modal verbs such as “不可能,” “不會,” except for “不該,” which does not express probability, but modulation (ibid., p. 195, p. 208).

2. “會” differs from “能,” “能夠” and “可以” in that it not only means that one has the ability to do something but he can do it well (ibid., p. 197).
3. The adverbs “一定,” “偏” “非” often co-occur with the modal verb “要” to reinforce the inclination; “一定” has a negative form – “不一定,” which can express inclination (ibid., p. 200).

Up to this point as a concluding remark, I successfully integrated the analytical tools of systemic functional linguistics with corpora for conducting textual analysis. It allowed me to obtain a clear overall picture of the stylistic preferences of the individual translators. The discursive presence of the translators in their actual translations (as opposed to paratexts) became discernible when I catalogued the stylistic differences revealed through different types of translation shifts identified between the four versions. This demonstrates that a combination of the two linguistic means is an effective tool for capturing the individual linguistic habits of the translators manifested in the texts.

2. Merits and Limitations of Munday’s (2002) Systemic Model for Descriptive Translation Studies

I employed Munday’s (2002) systemic model as the theoretical framework of this thesis. The model integrates Van Leuven Zwart’s (1984, 1989) bottom-up comparative-descriptive model for text-based analysis and Lambert and van Gorp’s (1985) top-down model for the examination of systemic contexts. The model is systematic and replicable. It allows me to use a flexible approach to select a ‘repertory of features’ for the analysis of certain aspects of the original and its translations. This overcomes the shortcoming of comparing source-text and target-text coupled pairs on an ad hoc basis as in Toury’s studies. Other than identifying microstructural shifts on the sentence level, I also considered

macrostructural shifts on the discourse level by applying Simpson's (1993) model to study the modes of point of view and their transitions in the texts. A combination of qualitative and quantitative methods enabled me to situate individual choices within their immediate cotext and context for close critical analysis. As for the contextual aspect, I looked at the interrelations between the author, the source text, its critics and readers in the source system, and compared them with the translators, the target texts, their critics and readers in the target system. I found no relationship between the two, but the study of the source-text context provided insight into selecting artistically motivated features of the original for translation comparison. The extra-textual data gained from the scrutiny of the translations' various paratexts, the criticism of Hemingway and *The Old Man and the Sea* informed me of the impact of the figure of Santiago as an undefeated hardened man on Chinese readers. This determined my choice of the three-day battle as a sample for the construction of the corpus, and subsequently, my selection of an extract from the third day's battle for close critical analysis of the old man's ideology and point of view. The investigation of the broader contexts of foreign literature translation in China in two historical periods (1949-1966 and 1978-1987) offered me useful information about the particular sociocultural environments in which the two sets of translations functioned. In the final phase of the research, I matched the textual features to the contextual elements I had uncovered in an effort to look into some possible sociocultural and discourse factors that may have motivated the linguistic shifts.

The model takes into account various dimensions of a given translational activity in its historical context. It extends the object of inquiry from the text to its reception and impact and the translation process. It also complements well the linguistic and cultural studies approaches by integrating the tools of systemic linguistics, corpora and sociohistorical research. However, from my experience of applying the model

into my research, I found it still encounters problems concerning definition of the units of comparison, interpretation, categorisation and representativeness of data. These problems are not unique, and they also affect other available models. My subjective position is still inevitably involved in the research at every level. For instance, I discovered that the boundaries between different process types as well as deontic and epistemic modals are indeterminate, and in some cases the same data can be interpreted and categorised differently, such as it is sometimes hard to differentiate “Range” from “Goal” in material processes; for example, I grouped these two clauses – “stepping on the gained line each time with his bare left foot” (449) and “He was still bearing the pull of the fish across his shoulders” (455) – under the “Goal” category, but they can also be put under “Range” since a Range can often be realised by a prepositional phrase, and it is not very clear how the participants “the gained line,” and “the pull of the fish” are impacted on by the performance of the processes. I grouped these clauses under “Goal” simply for convenience because they fit in the categories of the processes performed by the old man and his body parts on the line and the fish. The indeterminate boundaries between different process types are most prominent in the overlap between mental and relational processes. I classified the verb “feel” as the mental process of perception, but clauses such as “he had felt faint and dizzy” (827), “He felt very tired now” (828) can also be interpreted as relational attributive processes since the verb “feel” is a synonym of the intensive verb “be” commonly used to express quality attributes in relational processes. I categorised this type of agnate relational attributive processes under the mental processes of perception for the convenience of totaling the frequency of the perceptive process of feeling. Similarly, the boundaries between deontic and epistemic modals tend to be fuzzy; sometimes, the same modal can be interpreted differently from different angles (as explained in Chapter four, section 2.3. of the thesis). Again I grouped the modals “must,” “will,” “will/would” and “can / could”

mostly under “deontic modal operators” for easier counting of the data under one single category.

Messy boundaries in the categorisation of data are also encountered in the identification of translation shifts. I classified translation shifts according to the four types of translation techniques used by the four translators in making adjustments to the original. They are omission, addition, modification, and restructuring of the sequences of details. Yet I found that the boundary between addition and modification is also sometimes indeterminate. There are cases in which the two categories may overlap; for example, I recorded that Li modifies “and slamming on to the top of the sharks’ broad head” as “砰的一聲,木棍落在扁平的“犁頭”上” (459); and “and he could see the blue back of the fish in the water and the gold of his sides” as “他看見藍藍的魚背和金光燦爛的魚身從水底上升” (717); and Zhao modifies “They were wedge-shaped strips” as “都是楔子似的長兒” (57), and “The old man was trying with both hands to keep the line just inside of breaking strength” as “老漢雙手恰到好處地把住繩子, 稍微過一點它就會斷了” (471). I classified these shifts in Li’s and Zhao’s translations as “modification.” Yet it is also acceptable to put them under “addition” since the underlined details can also be viewed as new information added to make explicate the images or the contexts of events described in the original. The different ways of categorising the data will affect the results in corpus analysis. Thus, even quantitative analysis with the support of statistics cannot be entirely value-free.

As regards the contextual dimension, I did not encounter the problem of fuzzy categorisation of data that I came across in textual analysis. Yet I found that the notion of context is very broad; neither Munday’s (2002) model nor the cultural studies method offers me any guidance on how to study the context systematically. My subjectivity again is involved in selecting the aspects to look at in conducting

sociohistorical research. I intuitively chose to study the broader remote sociocultural environments, examining the situations of foreign literature translation in two historical periods in which the two sets of translations (Hai as one set; Wu, Li and Zhao as another) were produced. I sought to explore the factors concerning norms, history, ideology, the evolution of language, translation traditions and so on which might have conditioned the choices of the translator in a given historical context. Moreover, I researched into the translation history and criticism of Hemingway and *The Old Man and the Sea*, the paratexts accompanying the translations, the backgrounds of the four translators and the orientations of the publishers in order to understand better the immediate physical context in which the translation took place. Nonetheless, despite a significant amount of information I read through, I could obtain little first-hand information about the actual conditions under which the four translators operated. In the reviews too, they remain mostly invisible. Unlike the text-based data generated by internal textual analysis, the contextual information collected from sociohistorical research is subject to the availability of information from external sources, which to a certain extent, is beyond the researcher's control. Indeed, "context" is a highly complex notion which cannot be kept constant as a set of stable categories for objective measurement (Baker, 2001, p. 14). Thus, both textual and contextual descriptions in the study of translation cannot be exhaustive; they are bound to be incomplete and biased by the researcher's subjective position and intuition involved in every phase of the research.

Since it is impossible to take into account all possible factors involved in the process of empirical research, my explanations of the motivations of the translations shifts of the four versions could better be viewed as hypotheses generated to be tested further for verification in future research rather than absolute claims. In fact, a translator's behaviour cannot be explained by a single set of coherent motives since

it is a highly complex activity (Pym, 1998, p. 158). As Baker (2000a, p. 262) points out, in the study of the style of a translator, there is as yet no methodology that can be used to control all variables involved so as to sort out a set that can be attributed merely to the translator alone. Munday (2001) himself is also well aware of the limitation of his integrated method, and the potential danger caused by the ideology of the researcher in drawing textual-ideological correlations since he or she is liable to “seek out specific elements” in support of a pre-conceived claim regarding their causes by “ideological conditions” (p. 195).

3. Future Research

Looking back on my experimentation with the integrated methodology for capturing the voices of four translators in translating Hemingway’s *The Old Man and the Sea* into Chinese in two historical periods of modern China (1949 -1966; 1978-1987), I successfully interfaced text and context, incorporating the tools of systemic functional linguistics, corpus studies as well as sociohistorical research; and probed into some factors that may have caused the variations in the linguistic choices made by the four translators. My investigation was systematic and thorough, yet could still be broadened by taking into account other aspects of both the texts and the contexts in order to test further the reliability of findings or the hypotheses generated with regard to the ‘linguistic fingerprints’ of the translators and their relationships with the environments of the target texts. What follows are my suggestions of some areas which have not been dealt with but might be considered in future research.

First, I combined the tools of systemic linguistics and corpora for text-based analysis. I did not use the computer-assisted tools to construct the two corpora as I thought that manual analysis was still manageable in handling a relatively small corpus

composed of approximately 22,024 words of the original and a total of 138,745 words of the four translations. But in actual practice, I made arduous efforts in compiling the two corpora and handling manually a total of 1,388 occurrences of over fifty categories of data. Since my analysis was not aided by the Wordsmith corpus-processing tools, I could not check the type/token ratio, or average sentence length of the four translations, which is also significant information for uncovering the translators' preferred patterns of linguistic behaviour. Particularly, I observed that Hai has a tendency to use longer sentences contributed by his extensive use of premodifiers than the other three translators; this could be checked objectively by word and sentence statistics generated by Wordsmith. As the size of my corpus will have to be enlarged if I seek to look at other translations by the same translator or by other translators in the same series or genre of the same period, manual corpora are no longer feasible for the scrutiny of a number of the whole texts since it is very time-consuming and prone to human error. Although a blend of manual aids is still needed even if I use the computer-assisted tools to conduct the research, the resource of the latter enables the researcher to handle vast amounts of data which can hardly be done manually (Munday, 1998, pp. 3-7).

The two systemic linguistic models I employed for the identification of translation shifts are effective 'toolkits' applied to investigate the value and belief systems of the old man encoded in language. The study of the five process types by Halliday's (1994) model is exhaustive enough for capturing the old man's mental picture of reality. Yet the scrutiny of point of view by Simpson's (1993) model focuses more on the psychological and ideological dimensions while the temporal and spatial aspects have not been looked at. I could explore further the rendering of spatial deixis such as "get...over," "get...in," "pull...over," "get... alongside" and temporal deixis such as "now," "this time," "again" and "then." All these deictic terms are extensively used in

the third-day's battle to express the old man's repeated attempts to pull the fish towards him. In case study one of qualitative analysis, I observed that Hai has a tendency to use the distal demonstrative “那” to describe the situation more from the aloof view of the external narrator than the other translators. Further research with regard to the translation of deixis can be done to cross-check the validity of this finding.

Second, regarding the exploration of systemic contexts, I collected more information about the remote sociocultural settings in which the target texts functioned, but less about the immediate contexts of production related to the demands of publishers, readers' expectations, the prevailing concepts and traditions of translation, the translators' location and so on. Although there may not be much first-hand or solid information about the actual circumstances under which the translation took place, the contexts could still be explored in more depth by examining more writings about translation in the two historical periods (1949-1966; 1978-1987). For example, according to Sun (1996), the monthly *Translation Bulletin (Fanyi Tongbao)* was established on 1 July 1950 by the Translation Bureau of National Publishing General Administration of the Central People's Government. Its mission was “to promote the relationship and exchange of information between translators, to cultivate translation criticism and self-criticism and to enhance the quality of translation” (p.7, my translation). Articles published in the journal might provide further hints into the norms of foreign literature translation of the time. Other relevant discourse on translation published in *People's Daily (Renmin Ribao)*, such as “Adopting a Serious Attitude towards Translation” (Yong Yansu de Taidu Duidai Fanyi), published on 26 March 1950 (ibid., p.8) may also contain information about the translation norms at that time. As for the post-Mao period, writings about the translation of modernist literature could be researched, particularly those dealing with the technique of FDT

or ‘interior monologue.’ Moreover, since Wu’s and Li’s translations were respectively produced by Shanghai Yiwén Publisher and Sichuan Wenyi Publisher, the journals established by the former – *Foreign Arts and Literature Bimonthly* [*Waiguo Wenyi*] in 1978; and *Foreign Literature Translation Monthly* [*Wenxue Fanyibao*] by Sichuan Literature Translation Association (Meng & Li, 2005, P. 414, p. 419) may contain relevant information about the orientations of both publishers and the prevailing issues and practices of literary translation of the time. As for Zhao’s translation, it was published by Lijiang Publisher of the series of Nobel Prize writers. Lijiang was widely known for launching this project since 1982 (Liu, 2001, p.33). Thus, the prefaces, reviews and reflective essays on this series of translated works may provide some clues to the requirements and mission of the publisher, readers’ expectations and the translator’s location for the translation.

Finally, my corpus findings can be matched against a comparable corpus or control corpus of translated or non-translated texts, including a comparable corpus of modern Chinese literature or translated literature produced from 1949 to 1966 (for comparison with Hai’s version), of Chinese modernist literature or translated modernist literature produced from 1978 to 1987 (for comparison with the translations by Wu, Li and Zhao), of translations of Hemingway (1929-1949; 1978-1987)⁶³ or of Chinese original writings produced in the two periods (1949-1966; 1978-1987). The aim is to find out whether the linguistic shifts are influenced by the style of the original author, the norms of literary creation or literary translation of different times, the typical target-language patterns or the translators’ specific idiolect. All these corpora would have to be compiled specially. Yet the existing English and Chinese parallel corpus of thirty million words (including English to Chinese

⁶³ No other new translations of Hemingway were produced from 1949 to 1966 in China except for Hai’s two translations of *The Old Man and the Sea* and the short story “Undeclared.”

translations and vice versa), composed of literary (fiction, prose, drama) and non-literary texts (Humanities, Social Sciences and Natural Sciences), partial and whole texts, compiled by the Beijing Foreign Languages Institute (Wang Kefei, 2003, p. 410) may serve as useful reference. Although the corpus does not contain the exact types of the above-mentioned corpus needed, some of its subsets such as literary or non-literary translated texts from English to Chinese or original Chinese texts produced in the two major periods could serve as some kind of control corpus for comparison with the preferred language patterns of the four translators under investigation.

Appendix One

Chapter Five : Case Study Two

The Use of Lexis in the Four Translations of *The Old Man and the Sea*

1. Hai's Translation

Table A.1.1. A Preference for the Vigorous Verb “撐”

Clause no.	Original	Hai's Translation
14	The old man held him with his left hand and his shoulders now	老頭兒現在用左手和兩邊肩膀 <u>撐</u> 住它，
16	so that his left hand held the strain of the line across his shoulders	他回過身來用左手 <u>撐</u> 住釣絲在肩膀上的壓力，
17	and he held it	但他還一直在 <u>撐</u> 著它，
264	I can do it as long as he can, he thought.	它能撐多久我就能 <u>撐</u> 多久，他想。
291	and he worked his way back to the bow	於是他 <u>硬撐</u> 著走回船頭那邊去
355	and braced his left hand on it.	再用左手 <u>去撐</u> 住它。
430	holding it anchored with his shoulders,	然後用肩膀 <u>把它撐</u> 住
432	Holding the line with his left shoulder again,	他仍舊用左肩 <u>撐</u> 住釣絲
473	He lay forward cramping himself against the line with all of his body,	他弓著腰，用他整個身子去 <u>撐</u> 住釣絲，
522-523	'He'll be up soon and I can last. You have to last. Don't even speak of it.'	“它馬上就會冒上來，我可以 <u>撐得住</u> 。可是啊， <u>你不撐也得撐</u> 。連提也別提了吧。”
529	My right hand can hold it as long as it is braced, he thought.	他想：只要把它 <u>撐緊</u> ，我的右手就能夠 <u>攥</u> 住它。
1032	It was too good to last, he thought.	他想：能夠 <u>撐下去</u> 就太好啦。
1278	I must hold all I can, he thought.	他想：我一定要拼命 <u>撐</u> 住。

Table A.1.2. The Use of Lengthy Attributive Clauses

Clause no.	Original	Hai's Translation
143	I picked up only a straggler from the albacore that were feeding.	我揀到的也只是正在喂大放的那些大青魚中間一條失了群的，

144	and hear them pop when he stepped on them with the horny soles of his feet.	<u>喜歡聽到他用他的起了老繭的硬腳底</u> <u>踩在上面時它們砰地爆裂的聲音。</u>
651	He worked back to where he could feel with his foot the coils of line that he could not see.	<u>於是他掙紮著回到他可以用腳去碰他</u> <u>所看不見的釣絲卷兒的地方。</u>
737	the old man saw his mouth open and his strange eyes and the clicking chop of the teeth as he drove forward in the meat just above the tail.	<u>看見它在猛力朝魚尾巴上面的肉裏咬</u> <u>進去的當兒它那雙使人驚奇的眼睛和</u> <u>咬得格崩格崩的牙齒。</u>
776	The old man saw the brown fins coming along the wide trail the fish must make in the water.	<u>老頭兒看見兩個褐色的鰭順著死魚在</u> <u>水裏所不得不造成的那條寬闊的路綫</u> <u>游著。</u>
820	and felt the strength of the great fish through the line he held across his shoulders	<u>感覺到從他曳在肩頭的釣絲上透過來</u> <u>的那條大魚的重量，</u>
840	and the hissing that their stiff set wings made as they soared away in the darkness.	<u>聽見它們在黑暗裏凌空而去的時候從</u> <u>棚緊的翅膀上發出的噝噝的聲音。</u>
844	and heard the jaws chop and the shaking of the skiff as they took hold below.	<u>聽到上下顎裂開和它們鑽到船下面去</u> <u>咬魚的時候把船晃動的聲音。</u>
935	when he had played the hand game with the great negro from Cienfuegos who was the strongest man on he docks.	<u>他跟從西恩菲哥斯來的一個力氣最大</u> <u>的黑人碼頭腳夫比賽過抵手。</u>
1087	he asked the cramped hand that was almost as stiff as rigor mortis.	<u>他問那只僵硬得幾乎跟死屍一樣的抽</u> <u>筋的手。</u>
1103	he was fast to the biggest fish that he had ever seen and bigger than he had ever heard of,	<u>跟比他所看見過、所聽說過的魚都要</u> <u>大的一條最大的魚連在一起，</u>
1251	There was only the heavy sharp blue head and the big eyes and the clicking, thrusting, all-swallow-ing jaws.	<u>有的只是那又粗大又尖長的藍色的頭，</u> <u>兩只大眼，和那咬得格崩崩的、伸得長</u> <u>長的、吞噬一切的兩顎。</u>

2. Wu's Translation

Table A.2.1. More Literal Rendering of Metaphorical Expressions

Clause no.	Original	Wu's Translation
30	But when he put all of his effort on,	<u>但是，等他把渾身的力氣都使出來，</u>

41	took his suffering as it came	<u>忍受著襲來的痛楚感</u>
94	and started the pivoting and the weaving pulling that brought in all the line he gained.	<u>開始那種左右轉動、交替拉曳的動作</u> , 他的釣索全是這樣收回來的。
347	and the hurt of the cord across his back came to him easily and smoothly.	<u>釣索勒在他背上的感覺變得舒適而溫和</u> 了些了。
476	They were not dead and he could bring the pain of life by simply opening and closing them.	這雙手沒有死,他只消把它們開合一下,就能 <u>感到生之痛楚</u> 。
574	and gone into a dullness that he mistrusted.	進入了一種使他不放心的 <u>麻木狀態</u> 。
633	He only needed the feel of the trade wind and the drawing of the sail.	他只消憑貿易風 <u>吹在身上的感覺</u> 和帆的動向就能知道。
674	and confided more and more of the resistance to the fish to the skiff itself.	把 <u>對抗魚的拉力</u> 的任務越來越讓小船本身來承擔了。
675	He had no feeling of his left hand	他的左手失去了 <u>知覺</u> ,
817	He was happy feeling the gentle pulling	感到這輕微的一拉,他很高興,接著 <u>他感到有些猛拉的感覺</u> ,
1162	I hate a cramp, he thought. It is a treachery of one's own body.	我恨抽筋,他想。這是 <u>對自己身體的背叛行為</u> 。
1163	Her lightness prolongs both our suffering but it is my safety	保持船身輕,會 <u>延長我們雙方的痛苦</u> ,但 <u>這是我的安全所在</u> ,

3. Li's Translation

Table A.3.1. More Flexible and Creative Rendering of Diction

Clause no.	Original	Li's Translation
103	But, he thought, I keep them with precision.	<u>他尋思</u> : 我能掌握釣子的準確深度。
114	It drew up tight on the heavy cord	<u>僵握住繩子</u> ,伸展不得。
159	gained a yard of line	收進 <u>一碼光景</u>
200	But that was the location of the brain and the old man hit it.	但那交點正是腦子的所在,老人 <u>一擊而命中</u> 。
206	and hit only the heavy solid rubberiness.	一棍子打去, <u>還象實心皮球一般</u> 。
207	The shark came in in a rush and the old man hit him as he shut his jaws.	那鯊真的又沖上來了。老人等它咬住大魚,閉緊嘴, <u>就給了一悶棍</u> 。
217	So he hooked a patch of yellow Gulf weed	他就用挽鈎順手 <u>撈起一捧黃色海藻</u> ,
218	But who replaces this fish if I hook some	要是我為了別的魚而讓它跑掉了, <u>那可</u>

	fish and it cuts him off?	<u>是無法彌補的。</u>
226	On the next turn, he nearly had him.	下一圈, <u>老人差一點得手。</u>
250	and he had caught two of that size in his life, but never alone.	他生平捉到過兩條這種特大號魚, <u>但都不是單槍匹馬捉的。</u>
273	he ate all of the wedge-shaped strips of fish.	把幾條楔形魚肉 <u>全送進肚裏。</u>
277	Eat it now and it will strengthen the hand.	吃下魚肉, <u>給手加點油。</u>
379	and bring the shark out from under.	犁頭鯊就 <u>露出尊容。</u>
391	and began to pull in line steadily and gently.	<u>甩開雙臂收繩子,</u>
397	let me put the harpoon into you.	我請你吃叉子。
399	Make him pay for it.	要 <u>叫它自作自受。</u>
404	He ate the white eggs to give himself strength.	他 <u>為了補養身體</u> 而吃雪白的海龜蛋。
466	though faster than he would have fished if he was not trying to use the bird.	如果不是想利用鳥兒的話, <u>船是會划得更慢一些的。</u>
482	He sailed lightly now	小船輕裝了,他沒有想什麼,連什麼感覺也沒有。
564	and the old man rode gently with the small sea	老人迎著輕浪, <u>泰然打槳,</u>
635	and now the trade wind is rising. But that will be good to take him in with. I need that badly.	現在起貿易風了。這風能幫我把魚拖回港去。 <u>我正缺它幫忙。</u>
721	Then, with his right hand he felt the difference in the pull of the line before he saw the slant change in the water.	過不多久,他右手感覺出魚繩的勁兒稍有不同, <u>這時水中釣絲還看不出有什麼變化。</u>
781	the old man had been seeing black spots before his eyes	老人眼前不時 <u>出現金花,</u>
857	He knew he would need his hands before this was over and he did not like to be cut before it started.	他知道魚沒有釣進艙裏來以前,手總是用得著的, <u>怕就怕高潮未到</u> 手腳先掛花。
1294	I must think of nothing and wait for the next ones.	什麼也不去想, <u>等著瞧還來什麼傢伙。</u>

Table A.3.2. The Use of Four-Character Expressions

Clause no.	Original	Li's Translation
95	and the sail filled and he brought the skiff on to her course.	<u>風送滿帆,</u> 走上回家的路。

336	and two bad hands?	還有一雙 <u>皮開肉綻</u> 的手？
375	'I have enough line to handle him.'	“ <u>釣絲綽綽有餘</u> ,足夠它跳的。”
415	to get the crushed dolphin flesh off of his face.	洗去 <u>零零星星</u> 粘在臉上的 <u>鯨鯨肉</u> 。
439	They were normal at the tension that he was pulling on the line.	拉繩子太使勁, <u>眼冒金星</u> 是常有的事,
485	With his mouth shut and his tail straight up and down we sail like brothers.	魚兒嘴巴緊閉,尾巴翹著,忽上忽下:我們像是 <u>風雨同舟</u> 的弟兄。
486	and rowed out into the clean early morning smell of the ocean.	迎面撲來的是大清早 <u>沁人心脾</u> 的海水氣息。
712	even though he could not see them now the moon was below the hills.	雖然此時 <u>曉月西沉</u> ,眼前什麼也看不清楚。
745	It was getting late in the afternoon and he saw nothing but the sea and the sky.	日頭漸漸西斜,只見 <u>水天相連</u> ,此外 <u>眼空無物</u> 。
758	and swam between them and under the small shade the bubble made as it drifted.	追逐著浮囊的陰影, <u>倏忽穿行</u> 。
786	and he could only see well in flashes.	眼睛看東西都 <u>恍恍惚惚</u> 。
826	and only the wind and the steady pull of the sail	只覺得 <u>風鼓滿帆</u> 的拉力,
869	He knew quite well the pattern of what could happen when he reached the inner part of the current.	船駛進 <u>灣流</u> ,可能發生什麼樣的情況,他是一清二楚的。
1007	He looked up at the sky and then out to his fish.	再瞧瞧 <u>近在咫尺</u> 的那魚兒。
1008	He looked around for the bird now	他 <u>舉目四望</u> ,尋找那鳥兒,
1010	and his stripes still showed.	只有淡紫條紋還了了可辨。
1019	The old man looked ahead of him	老人 <u>翹首這望</u> ,
1082	Then when luck comes you are ready.	萬一 <u>時來運轉</u> ,就 <u>唾手可得</u> 了。
1986	being careful not to jerk against the fish.	他 <u>小心翼翼地</u> 用雙手和雙膝爬回後躺,
1108	and the old man was wet with sweat	老人累得 <u>汗流浹背</u> ,
1114	Then they were steady to see across the ocean which was rough now with the increasing breeze.	後來 <u>風起浪湧</u> ,遠隔波濤之外的燈光卻 <u>愈加分明</u> 。
1150-1151	'You better be fearless and confident yourself, old man,' he said.	“你本人要保持 <u>泰然自若</u> , <u>無所畏懼</u> ,”他說,
1195	Only I have no luck any more.	只怪 <u>時運不濟</u> 。

Table A.3.3. The Use of Colloquial Expressions

Clause no.	Original	Li's Translation
288	But we have killed many sharks,	<u>咱倆</u> 打死好幾條鯊魚和鰻,
366	But I have hurt them both badly	不過,我今天畢竟也讓它們 <u>好瞧</u> 了,
477	This part of it anyway.	學習怎樣 <u>較勁兒</u> 。
548	He worked skillfully with the one hand	他單手打結很 <u>麻利</u> ,
749	and all the nakedness between.	中間被 <u>啃得</u> 空空的。
782	and saw that the bird was circling again.	見那海鳥又在“ <u>轉磨</u> ”。
893	And I know I cannot keep it if I eat it since my face was in it.	再吃肯定受不了,因為剛才臉貼近 <u>鯊魚</u> ,被氣味 <u>熏</u> 夠了。
896	and he thought of him moving away in the darkness with the tuna held crosswise in his mouth.	想像它在黑暗中 <u>橫</u> 叨著金槍魚游動。
923	'Don't think, old man,' he said aloud.	“ <u>甭想</u> 它,老頭兒,”他大聲說,
976	and dipping into the bait fish that were forced to the surface in their panic.	<u>叨走</u> 一條驚慌逃上水面的小魚。
1017	After he judged that his right hand had been in the water long enough he took it out and looked at it.	他覺得右手 <u>泡得</u> 差不多了,就拿出來一 <u>瞧</u> 。
1165	It was a great temptation to rest in the bow and let the fish make one circle by himself without recovering any line.	這時候,在船頭靜坐片刻是極為吸引人的——讓魚 <u>自個兒</u> 轉圈子去,釣絲也用不著收。
1191	After that he had a few matches and then no more.	此後很少有人找他比手勁,最後 <u>乾脆</u> 沒有競爭者了。
1273	There is no sense in being anything but practical though, he thought.	別的都沒有意思,只要眼前 <u>實惠</u> 就好,他想。
1275	There is no one worthy of eating him from the manner of his behaviour and his great dignity.	沒有一個人配享用這條 <u>蠻有氣派</u> 的大魚。
1337-1338	and I would rather he stayed circling now.	倒不明白 <u>乾嗎</u> 老這麼 <u>轉磨</u> 。
1341	Go and see your friend, or maybe it's your mother.'	到一哩深的海底找你 <u>哥兒們</u> 去,找你奶奶去!”
1368	Then we might have fought them together.	那樣 <u>咱倆</u> 又可以並力作戰了。

4. Zhao's Translation

Table A.4.1. More Flexible and Lively Rendering of Diction

Clause no.	Original	Zhao's Translation
30	But when he put all of his effort on,	然而當他打起全副精神,
100	and he kept his lines straight up and down.	他那幾根釣繩仍然上下一溜直。
109	The old man swung the club down on him again	老漢再朝它掄下一棒,
114	It drew up tight on the heavy cord	這只手在這正很吃重的繩子上卻拳緊一團,
207	and the old man hit him as he shut his jaws.	老漢見它兩顎咬攏就揍。
217	So he hooked a patch of yellow Gulf weed	他用拖鉤撈些來一抖,
226	On the next turn, he nearly had him.	下一圈上,他差點兒成功。
256	and the old man stabbed him in his left eye.	老漢便擰它的左眼。
295	and then stand up and work on him when he comes in,	等它靠近了我再站起來收拾它。
299	He chewed it and noted its quality and its good taste.	他嚼一嚼,覺著是上等肉,滋味好
322	and as he rubbed the side of his hand against the planking of the skiff,	當他側著手在船幫上來回蹭擦的時候,
323	He used both of his hands in a swinging motion	他甩起雙手,左右開弓地輪換動作
334	you and I, and ruined many others.	可是你我兩個打死了不少鯊魚,還把不少打成了殘廢。
347	and the hurt of the cord across his back came to him easily and smoothly.	粗繩勒背的疼痛他也覺得鬆活、勻順了。
352	and scooped up water in his right hand	窩起右手捧水,
358	the old man rose to his feet	老漢就騰的立起
384	and let it run slowly through his raw hands	從兩只蹭掉了皮的手裏慢慢往外放。
409	and tried to gentle his fingers.	想叫指頭軟和些。
421	So now let us take it.	我們就迎著上吧。
424	Just rest and try to get your hands in shape to defend what is left of him.	歇歇吧,把兩只手養得象個樣子,好保住剩下來的魚肉。

459	and slamming on to the top of the sharks' broad head.	對著鯊魚的寬頭頂 <u>砰地狠砍</u> 下去。
468	His left hand was still cramped, but he was unknotting it slowly.	他的左手仍然 <u>拳著</u> ,但是他慢慢在撐開它。
506	'I went out too far.'	“我出海太遠了 <u>唄</u> 。”
545	But you can stay with him for ever.	你還會跟它一直 <u>泡下去</u> 。
608	so that he was still fishing correctly	所以他的動作還是很有 <u>章法</u>
690	and he pushed against the wood to be warm.	他緊貼著木板 <u>擋擋寒</u> 。
693	He tried to increase the tension	他試著 <u>繃狠些</u> 。
711	the patched sail drew, the boat began to move,	便 <u>隨風兜滿</u> ,船也開始移動,帶著他半躺在船後艙,徑向西南去了。
777	The old man could see pieces of the meat of the fish spilling white from the corner of his jaws	老漢看見碎肉從它嘴角白生生地 <u>嘟嚕</u> 出來。
811	I never felt him.	我還來不及 <u>掂一掂</u> ,
840	he heard the trembling sound as flying fish left the water and the hissing that their stiff set wings made	他聽見飛魚 <u>潑刺刺</u> 地扇尾出水,張直翅子 <u>哧哧地</u> 躍入晴空。
841	He could not see the fish's jumps but only heard the breaking of the ocean and the heavy splash as he fell.	他看不見魚跳,只聽到魚撐破海面 and <u>薑通濺落</u> 的響聲。
857	and he did not like to be cut before it started.	他不喜歡 <u>還沒開始真拼</u> ,反倒先挨了一下。
911	Do not think about sin, he thought.	<u>噓</u> ,別去想罪過吧,他心裏在說。
921	But I think the great DiMaggio would be proud of me today.	不過大球星狄馬吉歐今兒想必會 <u>為我得意</u> 的。
984	and some of his hope returned.	他的希望又有些 <u>活了</u> 。
1087	he asked the cramped hand that was almost as stiff as rigor mortis.	他問那只肌肉抽搐,快象僵屍一樣 <u>硬擰</u> 的手。
1094	pulled him down on his face	扯得他 <u>咕咚</u> 撲倒,
1117	But I would rather be exact.	不過我倒寧可把事情 <u>做到家</u> 。
1123	It is humiliating before others to have a diarrhoea from ptomaine poisoning to vomit from it.	要是你因為食物中毒,當著別人的面上吐下瀉, <u>就夠不象話了</u> 。
1138	It was sharp and hard-feeling and heavy.	來勢又急、又狠、又 <u>壓手</u> 。
1157	'Now,' he said. 'I am still an old man. But I am not unarmed.'	“我仍然是個老頭兒,不過我不是空手 <u>沒帶傢伙</u> 的了。”

1186	and he had a friendly contempt for the huge, stupid logger-heads,	<u>他的友好態度裏夾著幾分瞧不起。</u>
1302	You have to last. Don't even speak of it.'	<u>哼,你就得撐著,這還用說!</u> "
1381	He is my fortune, he thought. But that is not why I wish to feel him.	它是我 <u>到手的財運</u> ,他想。不過我想摸摸它倒不是因為這個緣故。

Table A.4.2. The Use of Colloquial Expressions

Clause no.	Original	Zhao's Translation
149	and they would sail as cleanly as possible.	一船一魚就可以盡量 <u>利索地</u> 往前航行。
263	I can do nothing with him and he can do nothing with me, he thought. Not as long as he keeps this up.	只要魚照舊這麼幹,我就拿它 <u>沒轍</u> ,它也拿我 <u>沒轍</u> ,他想。
333	I ruined us both.	我把 <u>咱們倆</u> 給毀了。
361	But I do not want to open it now by force.	可是我不想像馬上就這麼 <u>蠻幹</u> 。
403	'Now I'll let him eat it well.'	"它會 <u>叨去</u> 的。"
410	and it hurt truly now.	現在疼得 <u>真夠瞧</u> 的。
458	starting it well out before the fish came alongside	早在大魚 <u>靠攏</u> 以前就動手,
495	'Come on hand. Please come on.'	"快著點兒,手,勞駕快 <u>張開</u> 吧。"
497	'Ay,' the old man said. 'Galanos. Come on, Galanos.'	"喂,"老漢說。" <u>花皮</u> 的東西。過來呀, <u>花皮</u> 們。"
502	and sleep	<u>趁便</u> 睡睡,
696	and he tried to keep the cutting across the calloused parts	所以盡量讓繩子從手上有老繭的地方 <u>蹭</u> 過去,
737	The shark closed fast astern and when he hit the fish	鯊魚急忙撲向船後艙。 <u>它去啃魚的時候</u> ,
785	He is much fish still	它還是個很 <u>硬氣</u> 的魚,
814	and the old man could feel the skiff shake as he jerked and pulled on the fish.	扯得船打 <u>哆嗦</u> ,老漢是感覺到的。
883	he knew that this was a shark that had no fear at all and would do exactly what he wished.	知道這是一條毫不害怕、 <u>想幹啥就幹啥</u> 的鯊魚。
896	he thought of him moving away in the darkness with the tuna held crosswise in his mouth.	猜想它嘴裏 <u>橫叨著</u> 那尾金槍魚,正在黑處游開去。

967	It is a treachery of one's own body.	自己的身體居然也跟我 <u>耍滑放刁</u> 。
1020	and looked at the road.	<u>瞧了瞧</u> 石路。
1036	He was sorry for them all,	他替各種海龜 <u>抱屈</u> ,
1040	I'm sorry about it, fish. It makes everything wrong.'	魚啊,這很對不起啦。這一來全亂了套了。”
1056	I am only better than him through trickery	我只是 <u>耍了花招</u> 才比它強,
1090	and the back hurt truly.'	可是手啊背啊也疼得 <u>夠噲</u> 。”
1109	and tired deep into his bones two hours later.	累得骨頭要 <u>散架</u> 了。
1163	since he has great speed that he has never yet employed.	因為魚還有 <u>股子飛跑</u> 的 <u>猛勁</u> 沒使過呢。
1168	It is not the hand's fault and you have been many hours with the fish.	你跟大魚 <u>磨菇</u> 了好些鐘頭了。
1172	something took one of the baits that were behind him.	他背後三處水裏的魚食,不知被什麼東西 <u>啃了一處</u>
1196	It has more force in the evening too.	快晚的太陽,光也 <u>更足哩</u> 。
1222	They are our brothers like the flying fish.'	它們跟飛魚一樣,都是 <u>咱們的弟兄</u> 。”
1273	There is no sense in being anything but practical though, he thought.	現在可得顧著要實幹的事,別的都 <u>甬管</u> ,他想。
1274	you always see the signs of it in the sky for days ahead,	那你早些日子總會從天上看出點 <u>麼苗頭</u> 。
1328-1329	'Then I should see the glow of Havana.	“那時候我該 <u>瞧得見</u> 哈瓦那亮成一片了。
1339	Maybe this time I can get him over.	<u>作興</u> 這回我能把它拉過來。
1388	I wish too many things. But that is the thing I wish for now.	我巴不得能看見那一大片電燈的亮光,他想。我 <u>巴望的事兒</u> 太多了。

Table A.4.3. The Use of Colloquial “er hua” (兒化) Expressions

Clause no.	Original	Zhao's Translation
33	and put the skiff on her course.	把船撥回 <u>原道兒</u> 。
95	and the sail filled and he brought the skiff on to her course.	帆鼓起來了,他便將船撥回原來走的 <u>道兒</u> 。
170	'I can lash my knife to the butt of one of the oars.'	“我可以把刀綁在一支 <u>槳把兒</u> 上。”
277	Eat it now and it will strengthen the hand.	馬上就吃下去,好給這只手添把 <u>勁兒</u> 。
340	The blood ran down his cheek a little	鮮血順著他臉頰骨流下一小 <u>截兒</u>

	way.	
372	'I could not fail myself and die on a fish like this,' he said.	“我可不能 <u>自個兒</u> 不爭氣,為了打這麼一條魚反送了命,”他說。
423	and try and get something to eat and drink for the moisture.	試試 <u>撈點兒</u> 吃的,也吸收些水分。
676	when the fish started to circle.	魚開始 <u>轉圈兒</u> 了。
745	It was getting late in the afternoon	快到晚 <u>半晌兒</u> 了,
779	Then he saw one on the surface swimming in circles.	不一會兒,他看見有一條在水面上 <u>打轉兒</u> ,
796	he carefully felt the pull of the fish	一面小心試試魚的拉力 <u>減點兒</u> 沒有,
805	to know that this had truly happened and was not a dream.	就明白這番經過 <u>一點兒</u> 不假,不是做夢。
856	and knew he could put no more strain on it.	知道自己 <u>沒法兒</u> 再給繩子的張力加碼。
888	and that the fish now made a trail for all sharks	也知道魚肉現在給所有的鯊魚留下了 <u>二溜兒</u> 香味,
898	He thought of how men feared being out of sight of land in a small boat	他聯想到有些駕個小船出海的人,生怕一眼瞧不見個 <u>岸影兒</u> ;
904	he had thought perhaps it was a dream.	他以為 <u>沒準兒</u> 是場夢吧。
933	He remembered the time he had hooked one of a pair of marlin.	他還記得先前那回他碰到 <u>一對兒</u> 槍魚
934	the old man remembered, and he had stayed.	而且它一直守到 <u>末了兒</u> 才走。
956	Let it open by itself and come back of its own accord.	讓它 <u>自個兒</u> 張開,主動恢復原樣吧。
1126	My legs are all right.	兩條腿 <u>好好兒</u> 的。
1146	Now they have beaten me, he thought.	這幾 <u>撥兒</u> 把我打敗了,他想。
1165	and let the fish make one circle by himself without recovering any line.	讓魚 <u>轉個圈兒</u> ,自己連繩子也不收,
1198- 1199	You have only yourself and you had better work back to the last line now,	你只 <u>光杆兒</u> 一個,倒不如趁這會兒爬回去 <u>夠著</u> 最後那根釣繩,
1261	There are plenty of things I can do.	我能 <u>耍的招兒</u> 多的是。

Appendix Two

Table A.2.1. Summary of a Repertoire of Linguistic Features of the Four Translations Identified in Case Studies One and Two

1. Hai's Translation	
1.1. Translation of Speech and Thought Presentation	
1.	There is a tendency for Hai to move the reporting clauses to the front and add in a colon after each as “他想:” to signal the voice of the narrator.
2.	The FDT presentation is characterised prominently by a strong imperative tone, with the subject omitted, representing the old man's self-commands to hook the fish crisply and forcefully.
3.	There are many instances of restructurings and recreations of the original to produce different effects. Some sentences are combined and restructured to change the original sequences of events; some words are added into the FDT; two reporting clauses of FDT are modified; and very strong expressions such as the adjective “垮” are used to distinguish the mage of the old man as an undefeated hero.
4.	There is one instance in which the FDT is changed to FDS by recreating the reporting clause; and another in which inverted commas are added to change the FDT to DT.
5.	Frequent use of the distal demonstrative pronoun “那” to refer to the fish and the situation, indicating that events are described from the aloof view of the external narrator.
1.2. Translation of Modal Expressions	
6.	Very strong modal verbs or adverbs in combination with vigorous verbs are used to describe the way the old man grabs the chance to pull the fish closer to hook it, distinguishing the active part played by him and his vigorous actions performed to pull the fish with all his strength.
1.3. Translation of Material Processes	
7.	In rendering the material processes of sentence fifty-eight, Hai is particularly emphatic in highlighting that the old man exhausts himself in fighting the battle with the fish. Hai also goes beyond the original by representing the old man as a heroic figure recalling his glorious past to heighten his spirit, while in the other translations, he is depicted as a vulnerable and exhausted old man who can barely survive the battle.
1.4. Translation of Circumstantial Elements	
8.	In rendering the circumstantial elements of sentence fifty-nine, Hai puts much emphasis on the hard efforts made by the old man to lift the harpoon to the highest possible extent by creating a circumstance of manner that is not found in the original, and he also distinguishes the way the old man summons more strength to battle with the fish.
9.	In rendering the set of spatial deixis identifying the fish side the old man hits, Hai combines the first two prepositional phrases and changes the original post-modifier into a pre-modifier. Though most of the concrete details about the fish's side are reproduced closely by Hai, compared to Wu's, his

translation is less literal and exact.
1.5. The Use of Lexis
1. Hai favours to use the vigorous verb “撐” to describe the actions done by the old man, and lengthy attributives.
2. Wu's Translation
2.1. Translation of Speech and Thought Presentation
1. Wu's translation appears to be very much faithful to the original. The sequences of events and the reporting clauses of speech and thought presentation, coupled with the inverted commas enclosed in the reported clauses of DS are all reproduced faithfully. There are no restructurings or recreations of reporting clauses as those found in the other three translations. Sentences are broken closely according to the original and even the use of punctuation is followed closely.
2. Wu uses the proximal demonstrative “這” more frequently to refer to the fish and the situation while Hai uses more the distal demonstrative “那” to do so. Wu seems to distinguish the old man as the reflector of the story better by describing events directly more from the perspective of the old man than from that of the narrator.
2.2. Translation of Modal Expressions
3. Strong modal verbs or adverbs in combination with vigorous verbs are used to describe the way the old man pulls the fish closer to hook it, distinguishing the active part played by him and his vigorous actions performed to pull the fish with all his strength.
2.3. Translation of Material Processes
4. Wu's rendering is the most literal and faithful of the four versions in reproducing the material processes according to the original.
2.4. Translation of Circumstantial Elements
5. In rendering the circumstantial elements of sentence fifty-nine, there is a little restructuring of the sequence of details by combining two clauses in an order different from the original. Yet, overall, the series of concrete details describing the way the old man operates the harpoon to catch the fish are all reproduced clearly and delicately according to the original by Wu, which is the closest to the original of the four versions.
6. Wu is the closest to the original in reproducing the catalogue of details identifying the fish's side the old man hits. He renders the series of prepositional phrases similarly as post-modifiers and presents them in the same sequences as those of the original.
2.5. The Use of Lexis
1. Wu favours literal rendering of metaphorical expressions.
3. Li's Translation
3.1. Translation of Speech and Thought Presentation
1. Restructurings and recreations of the original are widely found. There is one instance in which Li recreates two reporting clauses by adding in a colon after each to change the original IT into FDT. In another instance the reporting clause is changed to emphasise the old man's determination to try again to hook the fish.

2.	There is one instance in which the two DS in the same paragraph are broken and presented independently as two paragraphs.
3.	In rendering the series of imperatives expressing the old man's self-commands to his body parts to hold up, Li appears to use less vigorous verbs; and the colloquial expression “拆台” is used specially to express the old man's self-command to his head not to faint.
3.2. Translation of Modal Expressions	
4.	There are a few instances in which Li renders the modal verbs or adverbs in combination with verbs moderately compared to the original and Hai's and Wu's translations, expressing a weaker degree of obligation on the old man's part to hook the fish and putting less emphasis on the active role played by him to pull it closer to catch it. There is one instance in which the old man as an agent in getting the harpoon into the fish is kept implicit and represented in a passive sense that the harpoon could be used.
3.3. Translation of Material Processes	
5.	In rendering one of the material processes of sentence fifty-eight, Li represents the old man's life-or-death battle with the fish metaphorically as a gamble, and the old man is gambling his life on the last fight with the dying fish; while the other three translations render the material clause more or less factually, all stating similarly that the old man gathers his remaining strength to hit the fish which is struggling in agony.
3.4. Translation of Circumstantial Elements	
6.	In rendering the circumstantial elements of sentence fifty-nine, Li is less detailed and exact in portraying the way the old man operates his harpoon to catch the fish. Some of the details of the original are omitted while some new ones are created to represent a different picture of description. While the original and the other translations emphasise the way the old man summons more strength to hook the fish, Li specially distinguishes the old man's heartlessness in hitting the fish.
7.	In rendering the set of spatial deixis identifying the fish side the old man hits, Li describes that the old man hits the fish from its side rather than into that point, thus changing the original picture about the exact position at which the old man gets the harpoon into the fish. Overall, Li's translation appears to be very much different from the original by restructuring the sequences of details and modifying the locative phases in a special way, and it is the roughest of the four translations in reproducing the original.
3.5. The Use of Lexis	
1.	Li favours to use four-character idioms and literary expressions, and colloquial diction.
4. Zhao's Translation	
4.1. Translation of Speech and Thought Presentation	
1.	Restructurings and recreations of the original are found. There is one instance in which Zhao adds in extra information in a FDT to make explicit that the old man has doubts about whether he can stand further trials. In another instance, he combines two FDT clauses into one and moves it to the front position of the sentence, while the original NRA clause interposed between the two FDT

	clauses is restructured and placed at the end of a sentence.
2.	There is a tendency for Zhao to place the vocatives expressing the objects the old man speaks to at the very beginning of a sentence before he introduces the subsequent information in the old man's monologue, while in the original the vocatives are often placed at the end of a sentence.
3.	In rendering the series of imperatives expressing the old man's self-commands to his body parts to hold up, Zhao's translation conveys a much slower rhythm and a milder tone since he uses longer expressions to create a parallelism of a series of six-syllable sentences, and uses less vigorous verbs by placing them in the middle or the final position of the sentences.
4.2. Translation of Modal Expressions	
4.	There are a few instances in which Zhao renders the modal verbs or adverbs in combination with verbs moderately compared with the original and Hai's and Wu's translations, expressing a weaker degree of obligation on the old man's part to hook the fish and putting less emphasis on the active role played by him to pull it closer to catch it.
5.	There is one instance in which Zhao uses a colloquial expression “作興” to render the epistemic modal adverb “maybe,” while is contrasted with the more formal diction used in the other translations to express the old man's assessment of his likelihood of catching the fish.
6.	There is one instance in which addition is used to make explicit the contextual information regarding the old man's self-doubt about whether he can stand further trials.
4.3. Translation of Material Processes	
7.	In rendering the material processes of sentence fifty-eight, Zhao is particularly mild in depicting metaphorically the way the old man moves his pain and uses his remaining strength to hook the fish. His translation appears to lay less emphasis on the hard efforts made by the old man to endure pains and to restore his strength as that represented in the original and the other three translations.
4.4. Translation of Circumstantial Elements	
8.	In rendering the circumstantial elements of sentence fifty-nine, Zhao uses the colloquial expression “還繞上他新激起的 <u>勁頭</u> ” to highlight the vigour the old man has just renewed to attack the fish.
9.	In rendering the series of spatial deixis identifying the fish's side the old man hits, Zhao restructures the series of post-modifiers into a compressed pre-modifier.
4.5. The Use of Lexis	
1.	Zhao favours to use more creative, lively and playful diction, as well as colloquial and the Beijing colloquial “ <i>er hua</i> ” expressions.

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