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## **CABTI**

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# Experiential Metafunctional Analysis of “Shan Xing” and Its English Versions

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This paper is the phased achievement of a school project of Guangzhou College of Commerce (No.: 2019XJYB008). About the author: CHENG Huaming, a doctoral candidate of St. Paul University Philippines, an associate professor at Guangzhou College of Commerce, is mainly engaged in comparative linguistics and translation research.

## Abstract

This paper attempts to analyze and compare transitivity processes of “Shan Xing” and its 11 English versions from the perspective of Experiential Metafunction of Halliday’s Functional Linguistics and makes a comment on the similarities and differences between them. This study can give clues to the study of poems and their translations of the transitivity processes, by exploring the differences of participants and circumstantial elements with the theoretical framework of Functional Linguistics which can provide a necessary theoretical basis for the study of poetry translation.

**Keywords:** Functional Linguistics; Experiential Metafunction; “Shan Xing”; English versions of “Shan Xing”

## 1. Introduction

“Shan Xing (Chinese: 山行)” is a seven-character quatrain of the Tang Dynasty by the poet Du Mu (Chinese: 杜牧), which describes the author’s mountain climbing, and highly praises the beauty of the mountain in the late autumn. This poem shows a colorful picture of the autumn mountain, where there are stone path, white clouds, homes, maple groves, frosted leaves, which constitute a touching autumn color. In this poem, Du Mu uses emotions to control the scene, quickly and accurately capture the image of natural beauty, and integrate his own emotion into it, so that emotional beauty and natural beauty are blended one scene. The first sentence of the whole poem “Yuan Shang Han Shan Shi Jing Xie (Chinese: 远上寒山石径斜)”, depicts a winding mountain road to the hills. “Yuan (Chinese: 远)” describes the length of the mountain road; “Han (Chinese: 寒)” indicates the late autumn. These two words “Xie (Chinese: 斜)” and “Shang (Chinese: 上)” take concerted action, which express the mountain is high but the slope is slow. The second sentence “Bai Yun Sheng Chu You Ren Jia (Chinese: 白云生处有人家)” is the description of what the poet sees, where the white clouds float is “You Ren Jia (有人家)”. These three characters make people feel that the mountains are full of life. It correlates with “Shi Jing (Chinese: 石径)” in the first sentence. This is the passageway for the mountain dwellers. The third sentence is “Ting Che Zuo Ai Feng Lin Wan (Chinese: 停车坐爱枫林晚)”, in which the word “Wan (晚)” is exquisitely used and it contains many meanings. Firstly, it shows that the scenes of the first two sentences are seen during the day, and those of the last two sentences are evening scenes. Secondly, because in the evening there are sunset, gorgeous sunset glow and red maple leaves which reflect each other, while maple grove is particularly beautiful. Thirdly, the poet lingered, and in the evening he was reluctant to leave in the car, and he loved the red leaves. Finally, because parking for a long time, observing into the micro, he realized the truth of the fourth sentence “Shuang Ye Hong Yu Er Yue Hua (Chinese: 霜叶红于二月花)”, which sentence is such an interesting epigram. The fourth sentence is the center of the whole poem. It is the poet’s strong colorful writing, condensed out of the pen. Huo (1995: 351) thinks that the poem contains new ideas, exquisite layout. In the bleak autumn wind it intakes gorgeous autumn color, and compares the spring wind, is pleasing to the eye. Recently, the main research on this poem includes: Gong (1985) explained new meaning of “Er Yue (Chinese: 二月)”. Zhong (2010) analyzed three English translations of the poem from empathy perspective. Li & Xu (2012) illustrated the poem from the perspective of cognitive stylistics. Zhao (2013) reinterpreted the text. Besides, there are several articles of teaching design of the poem. From the point of view of the research content, the results of the comparative translation study of “Shan Xing” are rare. This article analyzes Experiential Metafunction of “Shan Xing” and its 11 English versions from the perspective of Experiential Metafunction of Halliday’s (Halliday, 1994) so as to provide a better method for poetry translation study.

## 2. Experiential Metafunctional Analysis of the Poem

Experiential Metafunction is an important part of systemic-functional grammar by Halliday. Experiential Metafunction consists of multiple semantic systems, the most important of which is transitivity system. Its role is to use the experience of the real world and the inner world in a number of processes to express it, and identify the participants involved in the process and circumstantial elements (Wang, 2002: 1). Transitivity includes six processes: material process, mental process, relational process, verbal process, behavioral process and existential process (Hu, 2003: 71). From the perspective of transitivity of experiential function, there are four processes in “Shan Xing”, i.e.:

- (1) Material process / Relational process: “Yuan Shang Han Shan Shi Jing Xie (Chinese: 远上寒山石径斜)”;
- (2) Material process / Existential process: “Bai Yun Sheng Chu You Ren Jia (Chinese: 白云生处有人家)”;
- (3) Material process / Mental process: “Ting Che Zuo Ai Feng Lin Wan (Chinese: 停车坐爱枫林晚)”;
- (4) Relational process: “Shuang Ye Hong Yu Er Yue Hua (Chinese: 霜叶红于二月花)”.

In terms of functional discourse analysis, during transitivity analysis, it is necessary to indicate the related elements, such participants and circumstantials after the type of process is determined. In sentence (1) of material process, “Shang (Chinese: 上)” is the process, and the actor is the poet himself, which is omitted. “Yuan (Chinese: 远)” represents the circumstantial of space, and “Han Shan (Chinese: 寒山)” is the range. “Shi Jing Xie (Chinese: 石径斜)” shows the relational process: “Shi Jing (Chinese: 石径)” is the carrier, and “Xie (Chinese: 斜)” is an attribute; In sentence (2) of the existential process, “You (Chinese: 有)” is a process, “Bai Yun Sheng Chu (Chinese: 白云生处)” represents the circumstantial of space, which includes a material process, “Ren Jia (Chinese: 人家)” is an existent; In sentence (3) of the material process, “Ting (Chinese: 停)” is a process, “Che (Chinese: 车)” is the goal, “Zuo Ai Feng Lin Wan (Chinese: 坐爱枫林晚)” represents the circumstantial of cause, which also includes a mental process; In sentence (4) of the relational process, “Shuang Ye (Chinese: 霜叶)” is the carrier, “Hong (Chinese: 红)” is an attribute, “Yu Er Yue Hua (Chinese: 于二月花)” is the circumstantial of comparison.

Table 1 “Shan Xing” and Analysis of Transitivity Processes

Poem	Transitivity Process
(1) Yuan Shang Han Shan Shi Jing Xie (Chinese: 远上寒山石径斜)	Material process / Relational process
(2) Bai Yun Sheng Chu You Ren Jia (Chinese: 白云生处有人家)	Material process / Existential process
(3) Ting Che Zuo Ai Feng Lin Wan (Chinese: 停车坐爱枫林晚)	Material process / Mental process
(4) Shuang Ye Hong Yu Er Yue Hua (Chinese: 霜叶红于二月花)	Relational process

### 3. Experiential Metafunction Analysis of Its Translations

On English translations of the poem “Shan Xing”, these 11 versions have been collected (See Appendix). For convenience, the following versions are arranged by the order of time: Weng (Weng, 1985: 57), Wang (Wang & Knoepfle, 1989: 49), Xu2 (Xu, 1990: 328-329), Kotewell (Guo, 1994: 227), Zhuo (Zhuo, 1996: 181), Sun (Sun, 1997: 431), Xu3 (Xu, 2001: 531), Yang (Yang, 2001: 274), Seaton (Seaton, 2006: 123), Tang (Tang, 2010: 7), Liu (Liu, 2015: 182), which represent 11 translations. For comparison, a sentence-by-sentence analysis is given below.

#### 3.1 “Yuan Shang Han Shan Shi Jing Xie (Chinese: 远上寒山石径斜)”

Table 2 English Versions of “Yuan Shang Han Shan Shi Jing Xie”

Translated By	Process	Participant	Circumstantial
Weng	Material process: runs	Actor: a narrow stone path	Place: off the main road Manner: winding, climbing, vanishing
Wang	Material process: winds	Actor: the narrow stone trail	Place: far up into the mountains
Xu2	Relational process: are	Carrier: the stony paths Attribute: aslant	Place: far up on the cold mountain
Kotewell	Material process: climb	Actor: I Range: the chill mountain’s steep stone paths	
Zhuo	Material process: ’s meandering	Actor: a stony path	Place: high up the chilly mount
Sun	Material process: wound	Actor: the stone trail	Place: far up the mountainside

Xu3	Material process: leads	Actor: a slanting stony path	Place: far to the cold hill
Yang	Material process: winds	Actor: a flag-stone path	Place: up into the chilly hills
Seaton	Material process: turns	Actor: rocky path	Place: far climbing Cold Mountain
Tang	Material process: sloped	Actor: the rocky path	Place: far up the chilly mountains
Liu	Material process: is winding	Actor: an askew stone-paved path	Place: up the chilly mountain far away

The first sentence “Yuan Shang Han Shan Shi Jing Xie (Chinese: 远上寒山石径斜)” is discussed below. The 11 English translations in terms of the type of process, participants and circumstantials are analyzed in the table 2 above. According to the process type, only one of all the translations is used the relational process. The process translated by Xu2 is “are”. The carrier is “the stony paths”, and the attribute is “aslant”. “Far up on the cold mountain” represents the circumstantial element of the place. All the other translations belong to the material process, most of the actors are “path”. Weng translates it as “a narrow stone path”; Zhuo as “a stony path”, Xu3 as “a slanting stony path”, Yang as “a flag-stone path”, Seaton as “rocky path”, Tang as “the rocky path”, Liu as “an askew stone-paved path”. Weng adds more information of “narrow”, while Xu2 and Liu respectively translate the meaning of “slanting” and “askew” to indicate the meaning of the original poem “Xie (Chinese: 斜)”. Kotewell also uses the material process, which translates the omitted actor “I”. The process is “climb”, and the range is “the chill mountain’s steep stone paths”. In “the narrow stone trail” translated by Wang and “the stone trail” by Sun, all use “stone trail” to translate “Shi Jing (Chinese: 石径)”. The processes translated by Wang, Sun, Yang and Liu, which are translated as “wind” or others, contain the meaning of the rugged mountain road in the original poem. In addition, the other material processes are “runs” by Weng, “climb” by Kotewell, “s meandering” by Zhuo, “turns” by Seaton, “sloped” by Tang.

Then the circumstantial to represent place “Han Shan (Chinese: 寒山)” is discussed. Most of them are translated as “cold/chilly mountain(s)/hill(s)”, such as “far up on the cold mountain” translated by Xu2, “high up the chilly mount” by Zhuo, “far to the cold hill” by Xu3, “up into the chilly hills” by Yang, “far climbing Cold Mountain” by Seaton, “far up the chilly mountains” by Tang, “up the chilly mountain far away” by Liu. In the first sentence “Han (Chinese: 寒)” is used to evoke the fourth sentence “Shuang Ye (Chinese: 霜叶)” (Huo, 1995: 351). Among the translations “off the main road” by Weng, “far up into the mountains” by Wang, “far up the mountainside” by Sun do not appear the coldness of “Han Shan (Chinese: 寒山)”. In the circumstantial, Weng has added “winding, climbing, vanishing” to illustrate the rugged mountain path. Generally speaking, the first sentence can follow the process of material and be translated as “A stony path winds up to the chilly mountain far away”.

### 3.2 “Bai Yun Sheng Chu You Ren Jia (Chinese: 白云生处有人家)”

Table 3 English Versions of “Bai Yun Sheng Chu You Ren Jia”

Translated By	Process	Participant	Circumstantial
Weng	Existential process: perch	Existent: a few tiny cottages	Place: into the cloudy heights where
Wang	Relational process: is Relational process: are	Carrier: this Attribute: a cloudy place Carrier: the cabins Attribute: almost invisible	
Xu2	Material process: plant	Actor: people Goal: their dwellings	Place: where white clouds are made and formed, there
Kotewell	Existential process: are	Existent: homes of men	Place: deep in the white clouds
Zhuo	are silhouetted	Goal: homes	Place: 'gainst the white clouds' very fount
Sun	Existential process: stood	Existent: some abodes	Place: where the clouds were thick, there
Xu3	Existential process: appear Material process: are	Existent: cots and bowers	Place: where fleecy clouds are born, there
Yang	Relational process: are	Carrier: houses	Place: amid the thick white cloud

		Attribute: just discernible	
Seaton	Existential process:	Existent: some man's home	Place: where clouds grow
Tang	Existential process: stood	Existent: some cottages	Place: where white clouds had risen
Liu	Existential process: is	Existent: a cottage which is hidden in the white clouds depth	

The 11 translations of the second sentence “Bai Yun Sheng Chu You Ren Jia (Chinese: 白云生处有人家)” are displayed above. From Table 3, there are seven versions using the existential process, while the process of translation does not appear in Seaton, six of the other transitive processes of the translations are “perch” (translated by Weng), “are” (by Kotewell), “stood” (by Sun), “appear” (by Xu), “stood” (by Tang), “is” (by Liu). Among them, Sun presents a better translation, which shows the “hidden” homes in the mountains. The translations of the existent are “a few tiny cottages” by Weng, “homes of men” by Kotewell, “some abodes” by Sun, “cots and bowers” by Xu3, “some man’s home” by Seaton, “some cottages” by Tang, “a cottage which is hidden in the white clouds depth” by Liu. For the existent “Ren Jia (Chinese: 人家)”, Kotewell, Zhuo and Seaton translate it as: “homes of men”, “homes” and “some man’s home”. Here “home” is a place where people live. The poet thought that the mountains and forests were uninhabited, but he vaguely saw other people. There is a kind of warm feeling, in line with the meaning of the original poem. When Weng translates it as “a few tiny cottages”, Tang as “some cottages”, Liu as “a cottage”, “cottage” here refers to “villa”. People in the mountains cannot form cottages because they are scattered. Xu3 translates it as “cots and bowers”: “cot” refers to “shed, small house”; “bower” refers to “pavilion”. There are errors in the understanding meaning of the original poem. There are other translations “the cabins” by Wang, “their dwellings” by Xu2, “houses” by Yang. Wang and Yang translate it as the relational process. There are two relational processes: “is” and “are” in the translation by Wang. The carriers are “this” and “the cabins” respectively; the attributes are “a cloudy place” and “almost invisible”. The relational process of translation by Yang is “are”. The carrier is “houses”, and the attribute is “just discernible”. Xu and Zhuo translate it as the material process. The process translated by Xu is “plant”. The actor is “people”, and the goal is “their dwellings”. The process translated by Zhou is “are silhouetted”, and the goal is “homes”. Zhuo’s “silhouette” reflects a kind of outline, which is a certain background of the outline, more in line with the original poetic conception, because there are white clouds in the mountains, and the house cannot be clearly seen the full picture.

Finally, the circumstantial elements of the place to translate “Bai Yun Sheng Chu (Chinese: 白云生处)” are discussed. There are two versions: “Sheng (Chinese: 生)” and “Shen (Chinese: 深)”. “Sheng (Chinese: 生)” can be understood as in the formation of white clouds, “Shen (Chinese: 深)” means in the depths of the mist. Weng translates it as “into the cloudy heights where”, Kotewell as “deep in the white clouds”, Zhuo as “‘gainst the white clouds’ very fount”, Sun as “where the clouds were thick, there”, Yang as “amid the thick white cloud”. Zhuo’s “fount” refers to “(literary or humorous) the place where sth important comes from” (Wehmeier, 2004: 692). It explains the origin of white clouds, that is, where white clouds come from. The second sentence describes “Bai Yun (Chinese: 白云)” in order to contrast the fourth sentence with a strong contrast of color. “Frosted leaves” are extremely “red”, which gives a feeling of being redder than early spring flowers (Huo, 1995: 351). Both translations of Kotewell and Zhou embody “Bai Yun (Chinese: 白云)”, and Zhuo also shows the formation of white clouds. Other translations “where white clouds are made and formed, there” by Xu2, “where fleecy clouds are born, there” by Xu3, “where clouds grow” by Seaton, “where white clouds had risen” by Tang embody the formation of white clouds. Taken all the analysis into consideration, this sentence can use the existential process to be translated as “There are a few homes of men where the thick white clouds stay”.

### 3.3 “Ting Che Zuo Ai Feng Lin Wan (Chinese: 停车坐爱枫林晚)”

Table 4 English Versions of “Ting Che Zuo Ai Feng Lin Wan”

Translated By	Process	Participant	Circumstantial
Weng	Material process: pull up; entranced	Actor: I Goal: my carriage	Place: here
Wang	Mental process: love	Senser: I Phenomenon: seeing the maples	Time: at sunset Place: in my cart Purpose: to watch them

Xu2	Material process: stop	Actor: I Goal: my cart	Cause: only cause I love the beautiful sight—of a maple grove, all red Time: before the approach of night
Kotewell	Material process: stop	Actor: I Goal: my carriage	Cause: because I admire the maple grove at nightfall
Zhuo	Material process: bring	Actor: I Goal: my carriage to a halt	Cause: attracted by th' maples
Sun	Material process: stopt	Actor: I Goal: my cart	Purpose: to watch the maple forest late
Xu3	Material process: stop	Actor: I Goal: my cab	Place: at maple woods Purpose: to gaze my fill
Yang	Material process: stop	Actor: I Goal: my carriage	Cause: for I love the maple trees Time: in the twilight
Seaton	Material process: halt Behavior process: sit	Actor: I Goal: my carriage	Manner: adoring, evening, maple grove
Tang	Material process: stopped	Actor: I Goal: my cart	Manner: sitting therein to enjoy, looking at the lovely maple trees at dusk
Liu	Material process: stop	Actor: I	Cause: due to loving maple trees in late Autumn Purpose: to go sightseeing

The third sentence is “Ting Che Zuo Ai Feng Lin Wan (Chinese: 停车坐爱枫林晚)”. It means to stop the cart because of the beauty of the evening maple forest. The original verse uses the material process, while Wang uses the mental process “love” and material processes “pause”. The senser is “I”; the phenomenon is “seeing the maples”. The behavioral process of translation by Seaton is “sit”, which should be a misunderstanding. This is similar with the original English translation “and I sit to admire” by Kotewell. Guo (1994: 227) revises it. The revised circumstantial element “because I admire the maple grove at nightfall” expresses the concept of cause, and accords with the meaning of the original poem. Because of loving the late maple forest, he stops to watch the view (Huo, 1995: 350). Here “Zuo (Chinese: 坐)” does not mean “sit down”. *Selected Notes of All Tang Poetry* by Sun & Yan (2002: 3712) and *Selected Tang Poems* by the Institute of Literature of the Chinese Academy of Social Sciences (2003: 580) explain “Zuo (Chinese: 坐)” means “because” rather than “sit”, so these two foreign translators mistranslated it. Other translations are material processes. The process of the original poem is “Ting (Chinese: 停)”. Weng translates it as “pull up”, Yang as a phrase “bring...to a halt”, Seaton as “halt”, while the other translations are “stop” or its different forms to indicate the action of stopping. All the actors are “I”; the goals are “my carriage”, “my cart” or “my cab”. The circumstantial elements indicating cause include “only cause I love the beautiful sight—of a maple grove, all red” by Xu2, “because I admire the maple grove at nightfall” by Kotewell, “attracted by th’ maples” by Zhuo, “for I love the maple trees” by Yang, “due to loving maple trees in late Autumn” by Liu. Other circumstantial elements of purpose are “to watch them” by Xu2, “to watch the maple forest late” by Sun, “to gaze my fill” by Xu3, “to go sightseeing” by Liu. Based on the above analysis, this sentence includes the material process and mental process and can be translated as “I stop my cart because I love the maple grove in late autumn”.

### 3.4 “Shuang Ye Hong Yu Er Yue Hua (Chinese: 霜叶红于二月花)”

Table 5

English Versions of “Shuang Ye Hong Yu Er Yue Hua”

Translated By	Process	Participant	Circumstantial
Weng	Relational process: is	Carrier: the twilight mountainside Attribute: ablaze	Cause: with crimson maples more vivid than spring flowers
Wang	Relational process: are	Carrier: the leaves	Time: in the flowering spring



Attribute: as red as prairies			
Xu2	Relational process: are	Carrier: maple leaves after a frost Attribute: more beautiful in tone	Comparison: than flowers in February Accompaniment: with their colors better known
Kotewell	Relational process: are	Carrier: whose frozen leaves Attribute: redder	Comparison: than the flowers of early Spring
Zhuo	Relational process: are	Carrier: th' frost-redden'd leaves at dusk Attribute: brighter	Comparison: than the bloom of spring
Sun			Cause: with frost-bitten leaves more crimson than spring blooms
Xu3	Relational process: look	Carrier: frost-bitten leaves Attribute: redder	Comparison: than early spring flowers
Yang	Relational process: are	Carrier: the leaves after early frost Attribute: as crimson as spring flowers	
Seaton	Relational process:	Carrier: frosted leaves Attribute: far redder	Place: there Comparison: than March bloom
Tang	Relational process: was	Carrier: the red colour of the maple leaves with frost Attribute: deeper	Comparison: than that of "Second Moon flower"
Liu	Relational process: are	Carrier: whose leaves Attribute: much redder	Comparison: than the flowers in February of spring

Below is the analysis of the last line of poem "Shuang Ye Hong Yu Er Yue Hua (Chinese: 霜叶红于二月花)". Sun translates it as a circumstantial element of cause "with frost-bitten leaves more crimson than spring blooms", but all the other translations belong to the relational process, which is the same with the original poem. The carrier of translation by Weng is "the twilight mountainside", and the carriers of the other 9 translations are "the leaves" by Wang, "maple leaves after a frost" by Xu2, "whose frozen leaves" by Kotewell, "Th' frost-redden'd leaves" by Zhuo, "frost-bitten leaves" by Xu3, "the leaves after early frost" by Yang, "frosted leaves" by Seaton, "the red colour of the maple leaves with frost" by Tang, "whose leaves" by Liu. All the carriers are consistent in the original poem "Shuang Ye (Chinese: 霜叶)", and most of the attributes are translated as "redder" or "red". The translation by Xu "more beautiful in tone" is not clear in the meaning. The attribute is translated by Zhuo "brighter" (The color of the frosted leaves has been translated in the carrier "frost-redden'd"). The translation by Yang is "as crimson as spring flowers", and the translation by Tang is "deeper" (The color of the maple leaf has been translated in the carrier "the red colour"). But "redder" indicates a more reddish meaning. Most of the circumstantial elements are translated as the concept of comparison. Weng's "with crimson maples more vivid than spring flowers" expresses the circumstantial element of cause, and Wang's "in the flowering spring" indicates the circumstantial element of time. Other circumstantial elements, such as "than flowers in February" by Xu2, "than the flowers of early Spring" by Kotewell, "than the bloom of Spring" by Zhuo, "than early spring flowers" by Xu3, "than March bloom" by Seaton, "than that of 'Second Moon flower'" by Tang, "than the flowers in February of spring" by Liu, show the circumstantial element of comparison, in accordance with the original poem. Besides, Zhuo's translation also adds the circumstantial element

of time “at dusk”. On the translation of “Er Yue (Chinese: 二月)”, if it is translated as the second month, which is unclear. The translation of the second month of the lunar year is cumbersome and boring. “February” is incompatible with the whole meaning of the original poem (Wen, 1989: 176). The Chinese “February” is a spring blossom. It’s different from English “February”, which is still in the winter. Guo (1994: 227-228) considered that the version of “early Spring” to translate “February” is an exact version. To keep the same process of relational, the full sentence can be put into “The frosted leaves are much redder than the flowers in early spring”.

#### 4. Conclusion

On the theoretical basis of the experiential function of Halliday’s Systemic Functional Linguistics, this article analyzes and compares these 11 versions. Through the analysis of functional linguistics, the language of translations is discussed, and it can help us study some translation problems from a new perspective. The analytical framework of functional linguistics can be applied to describe poetry and its translation. This paper is not intended to judge the translation of famous men. It is hoped that this paper discusses the translation of ancient poetry into English from the perspective of Systemic Functional Linguistics. To maintain the process in the English translation equivalent to that in the original Chinese poem, the whole poem may be translated as: A stony path winds up to the chilly mountain far away; There are a few homes of men where the thick white clouds stay. I stop my cart because I love the maple grove in late autumn; The frosted leaves are much redder than the flowers in early spring. In consideration of rhyme, coherence and cohesion as well, some adjustments are made on the above initial version offered. The rhyme of the whole poem presents as “aabb”, with 15 syllables in each sentence. Finally, a better revised version is displayed as follows:

#### A Mountain Trip

Du Mu

A stony path winds up to the chilly mountain far away,  
Where are a few homes of men amid which the thick white clouds stay.  
I stop my cart ’cause the maple grove in late fall I favor:  
The frosted leaves are much redder than the early spring flower.

#### Appendix: Eleven English Translations of “Shan Xing”

**Weng:** // Autumn Glory // / Du Mu / Off the main road runs a narrow stone path, winding, climbing, vanishing into the cloudy heights where perch a few tiny cottages. / Here I pull up my carriage, entranced. For the twilight mountainside is ablaze with crimson maples more vivid than spring flowers (Weng, 1985: 57).

**Wang:** // trip to the mountains // — du mu / the narrow stone trail / winds far up into the mountains / this is a cloudy place / the cabins are almost invisible / I love seeing the maples at sunset / and pause in my cart to watch them / the leaves are as red as prairies in the flowering spring (Wang, 1989: 49).

**Xu2:** // A mountain tour // / Far up on the cold mountain, / The stony paths are aslant. / Where white clouds are made and formed, / There people their dwellings plant. / I stop my cart, only cause / I love the beautiful sight — / Of a maple grove, all red, / Before the approach of night. / Maple leaves after a frost — / Are more beautiful in tone — / Than flowers in February — / With their colors better known (Xu, 1990: 328-329).

**Kotewell:** // Traveling in the Mountains // / By Du Mu / After I climb the chill mountain’s steep stone paths, / Deep in the white clouds there are homes of men. / I stop my carriage, because I admire (Original Translation: and I sit to admire) the maple grove at nightfall, / Whose frozen leaves are redder than the flowers of early Spring (Guo, 1994: 227).

**Zhuo:** // A Mountain Scene // / Du Mu / A stony path’s meandering high up the chilly mount, / Where homes are silhouetted ’gainst the white clouds’ very fount. / Attracted by th’ maples my carriage to a halt I bring: / Th’ frost-redden’d leaves at dusk are brighter than the bloom of spring (Zhuo, 1996: 181).

**Sun:** // Mountain Trip / Du Mu // (Tang, 803-853) / Far up the mountainside the stone trail wound, / Where the clouds were thick, there stood some abodes. / I stopt my cart to watch the maple forest late / with frost-bitten leaves more crimson than spring blooms (Sun, 1997: 431).

**Xu3:** // GOING UP THE HILL // / A slanting stony path leads far to the cold hill; / Where fleecy clouds are born, there appear cots and bowers. / I stop my cab at maple woods to gaze my fill; / Frost-bitten leaves look redder than early spring flowers (Xu, 2001: 531).

**Yang:** // Travelling in the Mountains // / Du Mu / A flag-stone path winds up into the chilly hills, / Where houses are just discernible amid the thick white cloud. / I stop my carriage for I love the maple trees in the twilight, / The leaves after early frost are as crimson as spring flowers (Yang, 2001: 274).

**Seaton:** // Traveling among Mountains // / Far climbing Cold Mountain, rocky path turns. / There, where clouds grow, some man's home. / I halt the carriage, sit adoring, evening, maple grove; / There frosted leaves: far redder than March bloom (Seaton, 2006: 123).

**Tang:** // Melody on Autumn Mountains // / By Du Mu / The rocky path sloped far up the chilly mountains. / There stood some cottages / where white clouds had risen. / I stopped my cart, sitting therein to enjoy / Looking at the lovely maple trees at dusk. / The red colour of the maple leaves with frost was deeper than / That of "Second Moon flower" (Tang, 2010: 7).

**Liu:** // Mountain Trip // / Du Mu / Winding up the chilly mountain far away is an askew stone-paved path, / There is a cottage which is hidden in the white clouds/ depth. / Due to loving maple trees in late Autumn I stop to go sightseeing, / Whose leaves are much redder than the flowers in February of spring (Liu, 2015: 182).

#### Notes:

①The original translation of the third sentence by R. Kotewell & N. Smith is "I stop my carriage, and I sit to admire the maple grove at nightfall", in which "sit" is the misunderstanding of "Zuo (Chinese: 坐)". Guo (1994: 227) puts it into "I stop my carriage, because I admire the maple grove at nightfall".

②In order to save space, the lines of the English translation are separated by "/", and the titles are separated by "//".

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# A Pilot Study on Undergraduate Students' English-Chinese Translation Shifts in Web-searching Process: combining screen-recording and retrospective verbalization methods

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## Abstract

Translation shifts (i.e. linguistic changes at lexical, syntactic and expression levels) naturally occur with the use of translation techniques in the process of translating a source text (ST) into another target text (TT). However, previous scholars mostly focused on analyzing translation products but hardly investigated translation shifts through translation process research (TPR) methods. Therefore, the pilot study combining screen-recording and retrospective verbalization methods aims to explore the causes and types of translation shifts made in three undergraduate students' web-searching process in the hope of summarizing some implications for translator training.

The preliminary findings are as follows. Firstly, the combination of screen-recording and retrospective verbalization methods could detect the causes of undergraduate students' dissatisfying translation shifts, such as their over-reliance on online dictionaries or insufficient background knowledge in the ST. The results of the pilot study also show the implications of both recalling students' application of internalized translation techniques and prompting them to reflect on how to make better translation shifts through the consultation of relevant background knowledge in the ST. Secondly, despite the usefulness of web resources, students should be taught to cross-check reliable web resources for refining TT expressions with personal translator's style as another implication of translation shift analysis.

**Keywords:** English-Chinese translation shifts, web-searching process, screen-recording method, retrospective verbalization

## 1. Introduction

Translation shifts have been studied for a long period of time by both Western and Chinese scholars (e.g. Vinay & Darbelnet, 1958/1995; Loh, 1958a/1958b; Catford, 1965; Popovič, 1970; van Leuven-Zwart, 1990a/1990b; Newmark, 1988; Sager & Hamel, 1995; Hatim & Munday, 2004). The translation shift theory, belonging to descriptive translation studies (Toury, 1980), becomes full-fledged through comparative linguistic analysis (e.g. Vinay & Darbelnet, 1958/1995). Among the above scholars' studies, Vinay and Darbelnet's and Catford's shift models have been widely discussed by other researchers (e.g. Cyrus, 2009; Zhang & Li, 2009).

Translation shift analysis serves as "a means of describing what constitutes the translation product but there are limits about what it can (or even attempts to) tell us about the actual process of translation (Munday, 2008, p. 63), so the theoretical basis for the pilot study is formulated by *cognitive translation process* in an attempt to break through the limits of product-oriented translation shift analysis.

The approaches of translation shifts are rarely tested by empirical translation process research (TPR). Although Bahramy and Aidinlou (2014) verify the positive effects of teaching translation shifts for more acceptable translated texts, they focused more on the improvement of students' translation quality than on the process of making translation shifts. Therefore, the pilot study will fill this research gap by using TPR methods to investigate the causes and types of translation shifts in undergraduate students' translation (web-searching) process, their retrospective verbal reports on translation shifts and the implications of shift analysis for translator training.

## 2. Literature Review

### 2.1 Definitions of Translation Shifts

Translation shifts are defined by a few scholars. Munday (2008, p. 55) considers translation shifts to be "small linguistic changes occurring in translation of source text (ST) to target text (TT)." Jabak et al. (2016, p. 154) define translation shifts as "an important feature of any translation as they are unavoidable, especially if the SL and TL belong to two different families

such as English and Arabic,” and their study discusses such linguistic shifts as word order, parts of speech, word choice, tense, number and voice to make the concept of translation shifts “more intelligible and more practical” (p. 165).

Actually, Catford (1965, p. 73) is the first scholar that introduces and defines the term translation shifts as “departures from formal correspondence in the process of going from the SL to the TL.” He further proposes the following types of translation shifts (pp. 75–82): *structural shifts* (shifts in grammatical structures), *class shifts* (shifts from one part of speech to another) and *unit shifts* (shifts happen when a translation equivalent in the TL is at different units to the SL among word, clause, sentence, group and morpheme; for example, a word can be translated into a short sentence with the segmentation technique).

Another scholar, Popovič (1970, p. 80), defines another type *shifts of expression* as “the result of the translator’s conscious efforts faithfully to reproduce the aesthetic totality of the original [text].” Shifts of expression also pertain to literal or free translation deriving from “the tension between the original text and the translation ideal” (Munday, 2008, p. 62). These shift types as a result of particular English-Chinese translation techniques (see Section 2.2) will be analyzed in the pilot study.

## 2.2 Related Studies on Translation Shifts

The following studies on translation shifts will be reviewed because they motivated the researcher to analyze the causes and types of translation shifts in the pilot study.

Some scholars conducted contrastive linguistic studies on different types of translation shifts. For example, Al-Zoubi and Al-Hassnawi (2001) construct their own model to analyze various types of translation shifts at linguistic and paralinguistic levels, and they propose a new term “translation equivalence” for the translators to establish between the source language (SL) and target language (TL). Newmark (1988) identifies four types of translation shifts: the first type is the change from singular to plural; the second type happens when the SL grammatical structure does not exist in the TL; the third type is the one when literal translation is grammatically possible but may not fit the natural usage in the TL; the fourth type refers to the transposition technique as the replacement of a virtual lexical gap by a grammatical structure.

Besides, some corpus-based studies (e.g. Munday, 1998; Macken, 2007) also examined the lexical, syntactic and freeness levels of translation shifts and presented some findings of shift occurrences. Shih (2012) also conducted a corpus-aided study to explore English-Chinese translation shifts in prepositions, concluding that “prepositional translational shifts are closely related to a host of factors such as contrastive linguistic differences between SL and TL, textual functions and the translator’s style” (p. 59).

According to the above studies, translation shifts are actually “a phenomenon inherent to translation,” which is not anymore regarded as “mistranslations” or “deviations of the norm” (van Leuven-Zwart, 1990b, p. 228). In order to better understand the causes and types of translation shifts in students’ web-searching process, the pilot study will mainly adopt *a top-down shift analysis* (Kade, 1968), i.e. to examine such factors other than translation techniques as the characteristics of the TL beyond the semantic level, the function of a translation, students’ interpretation of web resources and the translator’s style.

## 2.3 Translation Techniques, Strategies and Related Shift Models

A number of translation scholars (e.g. Ho, 1997; Molina & Hurtado Albir, 2002; Dong & Zhao, 2012) discuss and term translation techniques in the translation process. Molina and Hurtado Albir (2002) distinguish translation techniques from translation strategies: *translation strategies* are the procedures used by translators to solve problems with a particular objective in mind, while *translation techniques* characterize translation strategies and influence the translation results. Ho (1997) defines the restructuring technique used by the translators who split sentence structures to indicate the grammatical order of the SL for a more fluent TT. Dong and Zhao (2012) indicate that the translators use the conversion technique to transfer the ST word into another part of speech in order to achieve a corresponding effect in the TT. In the following, two shift models will be presented and compared in relation to the application of the above translation techniques.

Vinay and Darbelnet (1958/1995) contrasted the systematic-linguistic differences between English and French to prevent the translators’ errors in working with this particular language pair. Coincidentally, a Chinese scholar Dian-yang Loh (1958a/1958b) also put forward his translation shift model in 1958 with some similarities to Vinay and Darbelnet’s model (see Zhang & Li, 2009 for more details).

Based on Vinay and Darbelnet’s contrastive analysis, seven translation techniques are provided: three are *borrowing*, *calque* and *literal translation* as direct techniques, and the other four are *transposition*, *modulation*, *equivalence* and *adaptation* as oblique techniques. Although Vinay and Darbelnet did not use the term translation shifts, it is these four oblique techniques that lead to different shift types within English-French translation. These four oblique techniques commonly used in English-Chinese translation will be defined and compared with Loh’s translation techniques in the following.

Firstly, the *transposition* technique refers to “replacing one word class with another without changing the meaning of the message” (Vinay & Darbelnet, 1958/1995, p. 88). Transposition is similar to Loh’s *conversion* technique as substituting SL

words with TL words that are “identical in meaning but different in terms of part of speech” (Loh, 1958b, p. 186). The transposition or conversion technique leads to Catford’s class shifts. Vinay and Darbelnet (1958/1995) also believe that the translators of any pair of languages should employ the transposition techniques to produce a natural-sounding translation.

Secondly, the *modulation* technique is defined as “a variation of the form of the message, obtained by a change in the point of view of the SL” (Vinay & Darbelnet, 1958/1995, p. 89). Loh’s *inversion* technique, similar to modulation, is defined as “the constituent elements of a sentence are arranged in a way that is different from the general rules of word-order of the language in question” (Loh, 1958b, p. 229). The modulation or inversion/restructuring technique thus results in Catford’s structural shifts.

Thirdly, the *equivalence* technique occurs in translation cases where “one and the same situation can be rendered by two texts using completely different stylistic and structural methods, and most equivalences belong to a phraseological repertoire of idioms, clichés, proverbs, nominal or adjectival phrases, etc” (Vinay & Darbelnet, 1958/1995, p. 90). However, Loh has no similar technique to equivalence which contributes to shifts of expression (Popovič, 1970).

Lastly, the *adaptation* technique is employed when the type of situation to which the SL message refers is unknown in the TL culture. In this case, “the translator has to create a new situation that can be considered as being equivalent” (Vinay & Darbelnet, 1958/1995, p. 91). Loh’s transliteration technique (similar to Vinay and Darbelnet’s borrowing technique) and coinage of new characters (similar to Vinay and Darbelnet’s calque technique) are two methods for “translating nouns denoting things of foreign origin” (Loh, 1958a, p. 47).

Based on the two shift models and their related translation techniques, the pilot study will explore the occurrences of students’ translation shifts in their translation process (i.e. their application of translation techniques and consultation of web resources as translation strategies), together with their retrospective verbal reports.

#### 2.4 Web-searching Studies on the Translation Process

Web-searching studies on the translation process are relatively few (e.g. Enríquez Raño, 2011, 2014; Shih, 2017; Chang, 2018). Enríquez Raño (2011) asked four postgraduate translation students to complete two translation tasks in two separate weeks of a course. She combined pre-task questionnaires, screen recording, online search reports and post-task interviews to study these students’ web-searching behaviors. Her findings point to not only the importance of web-searching skills for translation but also the requirement of more empirical studies on learning contexts where the types of translation tasks are determined by the need of using online information.

Shih (2017) used think-aloud protocols (TAPs) and the screen-recording method to investigate six Chinese trainee translators’ web-searching behavior in translating a scientific text. Although these subjects’ idiosyncratic behavior in online searches was identified in terms of their use of various web resources, Shih did not conduct post-task interviews to examine what her subjects thought about their web-searching behavior.

Then, Chang (2018) combined TAPs, the screen-recording method and cue-based retrospective interviews to explore the formation of ten Chinese students’ web-searching skills (i.e. instrumental competence) during their one-year postgraduate translation course in the UK. Chang’s study demonstrates that the combination of TAPs, screen recording and cue-based retrospective interviews can be used as a set of metacognitive reflection tools to hone translation students’ web-searching skills.

However, none of the above web-searching studies touch upon the connection between subjects’ use of web resources and translation shifts occurring in their translation process, and this is what the pilot study will tap into.

#### 2.5 The Application of TPR Methods into Shift Analysis

##### 2.5.1 Screen Recording

The screen-recording method enables the researchers to access subjects’ actions, their faces and what happens on the computer screen. Some screen-recording software (e.g. *BB Flashback*; see more details in the research design section), downloadable onto any computer, records AVI files of all on-screen activities during a translation task. In other words, everything translators do is recorded by “an unobtrusive application running in the background” (Angelone, 2012, pp. 46–47).

The screen-recording method – unobtrusive, user-friendly and ecologically valid – can be used in conjunction with verbal reports. According to Göpferich and Jääskeläinen (2009, p. 173), screen recordings are “particularly useful for analyzing the research activities which form an integral part of translation processes, as they provide a detailed account of which electronic sources or web-sites the subjects are using during translation.” Hence, the present study chooses the screen-recording method which not only serves as a suitable TPR tool but also makes subjects more autonomous in making translation shifts as a self-learning process.

### 2.5.2 Retrospective Verbal Reports

The cue-based retrospection method is able to provide subjects with powerful reminderPs by recalling their memory about their engagement in a translation task. Ericsson and Simon (1987, p. 41) point out that using cueing stimuli and giving subjects general instructions to report their thoughts, during the immediately preceding cognitive activity, produce retrospective verbal reports which to a large extent mirror the actual mental processes. According to Ehrensberger-Dow and Künzli (2010, p. 116), the strength of the cue-based retrospection method is that the researchers can collect cue-based retrospective data “that are less susceptible to memory decay” by replaying the recordings of subjects’ translation process and requiring them to comment on what they have done.

However, Englund Dimitrova and Tiselius (2009, p. 110) identify a weakness of the retrospection method: total recall of information cannot be generated and the accuracy of the information recalled may be reduced due to subjects’ inadequate memory. Hence, retrospection has to be *cued* to facilitate recall, and a cueing stimulus is preferably “encoded in the same way at recall as it was at the original presentation” (Ericsson & Simon, 1993, p. 119).

### 3. Research Aims and Questions

The primary aim of the pilot study is to explore the causes and types of undergraduate students’ translation shifts made in their web-searching process. The secondary aim is to summarize the implications of translation shift analysis for translator training. The research questions are as follows:

- (1) What are the causes and types of translation shifts made in three undergraduate students’ web-searching process during an English-Chinese translation task?
- (2) How and why do these students use translation techniques and web resources to produce translation shifts?
- (3) To what extent do these students think that the translation shifts made in their web-searching process could improve translation quality?

The above research questions will be answered by the analysis of the screen-recording and retrospective verbalization data. Details of research design will be explained in the following research design section.

### 4. Research Design

#### 4.1 Selection of Student Subjects

Three undergraduate students, who took a required course entitled *Basic Chinese-English Translation* at the Department of Applied English of Chaoyang University of Technology in central Taiwan, agreed to participate in the pilot study at the end of this course (see Appendix 1: Consent Form). In this course, the researcher had spent 18 weeks teaching the students how to use various translation techniques, such as addition, omission, conversion, sentence restructuring and ways of translating terms and proper nouns to solve translation problems in both general (e.g. news articles) and specialized texts (e.g. technological articles). In addition, they were also taught how to search for different types of web resources (online dictionaries, online encyclopedias and online parallel texts in the TL) to settle their translation problems. Moreover, through mid-term and final oral presentations, these students were asked to translate a given ST, reflect on their translation problems and evaluate the successfulness of their employment of translation techniques, web resources and other translation factors.

The reasons why the three student subjects were chosen are as follows. Firstly, they put much effort to translate and revise their weekly assignments; secondly, their mid-term and final oral presentations offered unique insights into solving translation problems and refining expressions in the TTs. Hence, based on their top 5% of average marks among other students, the researcher assumed that the three student subjects might have made progress in learning translation and could be more competent in applying translation techniques and web resources to make translation shifts. Table 1 shows the three students’ demographic information (see Appendix 2: Demographic Form).



Table 1. Student Subjects' Demographic Information

Codename	Gender	Age	Educational Background	Level of Common European Framework of Reference (CEFR Level)	Field(s) of Translation Experiences	Time Length of Translation Experiences
Tony	M	21	BA in English Language	B2 (Vantage)	No	0
Sherry	F	26	BA in English Language, Literature and Linguistics	B2 (Vantage)	Journalistic and tourism texts and subtitles	10 months
Helena	F	21	BA in Applied English	B1 (Threshold)	No	0

In Table 1, the average age of the three students is 23 and all of them major in the English language. The three students also achieve vantage and threshold levels in English proficiency tests. Except Sherry, the other two students claimed that they did not have any translation experiences (though they had practiced translating different text types during the 18-week course but may not consider those assignments to be practical). Therefore, it will be interesting to investigate how the three novice translators make linguistic changes (i.e. translation shifts) with the aid of translation techniques and web resources.

#### 4.2 Methodological Procedures

The three individual students were asked to translate an art news article (see Appendix 3: Source Text of the Pilot Study) from English into Chinese. This art news article briefly introduces the life of an Italian painter Artemisia Gentileschi (A.D. 1593–1654) and an upcoming exhibition for her paintings held by the National Gallery in London. This art news article scores 45.4 in Flesch Reading Ease Readability Formula and its readability level is “difficult to read for 15- to 17-year-olds.” During the past 18-week course of *Basic Chinese-English Translation*, these students had learned how to tackle lexical (i.e. terms and proper nouns), syntactic and knowledge problems while translating both general (e.g. news and tourism articles) and specialized texts (e.g. financial and technological articles), so the researcher decided to pick the art news article containing some vocabulary, background knowledge and lengthy sentences that might pose challenges on the students, hoping that they could make translation shifts by checking more web resources than using translation techniques.

During this translation task, the students' web-searching process of solving translation problems and choosing translation equivalents were recorded by a piece of audiovisual software *BB Flashback*. Shortly after the translation task was completed, the researcher replayed part of the individual students' *BB Flashback* videos and prompted them to specifically verbalize and comment on any linguistic changes (i.e. translation shifts) made in their web-searching process. As for the students' retrospective verbalization, the researcher adopted *the other-initiated approach* to ask the students to only verbalize “when explicitly requested to do so by the experimenter” (Færch & Kasper, 1987, p. 17) with the following pre-set questions:

- (1) What changes in words (terms and proper nouns) and sentences did you make while translating the article from English into Chinese?
- (2) How did you use translation techniques and online resources to make such changes in these translated words (terms and proper nouns) and sentences? Why did you decide to make such changes?
- (3) How important do you think online resources are for making changes in these translated words (terms and proper nouns) and sentences?
- (4) Do you feel that the changes in these translated words (terms and proper nouns) and sentences improve your translation quality?
- (5) Throughout the 18-week course *Basic Chinese-English Translation*, what have you learned to improve your translation quality by applying translation techniques and online resources?

Figure 1 shows how a student subject translated the article recorded by *BB Flashback* on a laptop, and Figure 2 displays an example of a *BB Flashback* video.

Figure 1. Student Subject's Translation Task Recorded by *BB Flashback*

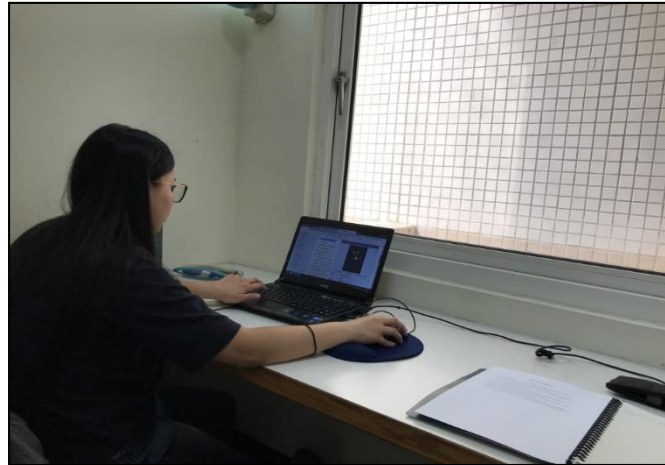
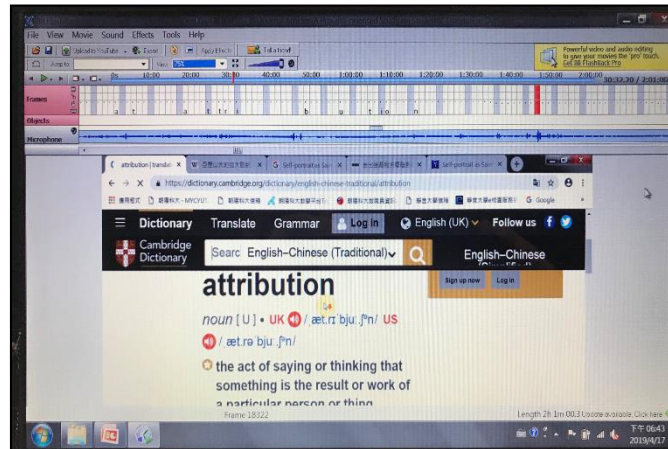


Figure 2. An Example of *BB Flashback* Video



## 5. Results and Discussion

### 5.1 Data Transcription

Previous translation process researchers (e.g. Krings, 1986; Jääskeläinen, 1999; Englund Dimitrova, 2005) developed their own transcription conventions for TPR data considering different research purposes. However, their transcription conventions only recorded subjects' verbalizations without screen-recording information.

Enríquez Raído's transcription convention (2014, pp. 103–105) was adapted for the pilot study because her convention includes more complete information about subjects' screen-recording behavior (i.e. timeframe, on-screen windows or tabs with URLs, subjects' verbal reports and their consultation of web resources), so this convention largely meets the needs of the pilot study for analyzing students' web-searching behavior.

### 5.2 The Causes and Types of Translation Shifts in Students' Web-searching Process

This section will achieve the two research objectives (see Section 3) regarding the causes and types of students' translation shifts made in their web-searching process during the English-Chinese translation task, and the implications of shift analysis for translator training will also be presented. In the following, case studies on the three student subjects' translation shifts will be discussed with their transcription records of screen-recording data and retrospective verbal reports on the use of translation techniques, web resources and other top-down factors (Kade, 1968).

#### 5.2.1 Class and Unit Shifts: Tony's Case Study

Table 2 shows the first student subject Tony's transcription records of class and unit shifts (Catford, 1965) in "gruelling." Tony looked up the ST word "gruelling" in *Bing Dictionary* and the machine translation of the ST segment in *Google Translate*. He might feel that the Chinese meaning "折磨人的" (*torturing*) in *Bing Dictionary* or the machine translation "艱苦的" (*difficult/arduous*) could be translated in a different way because according to his retrospective verbalization, Tony reported that he had changed the order of words in some ST sentences for several times because "the sentence structure of English is strict, whereas Chinese sentence structure is more flexible." As a result, he converted "gruelling" from an adjective into a noun, "折磨" (*torture*) and used the segmentation technique to translate "gruelling" into a separate sentence, "她備受折磨" (*She suffered from a lot of torture*). Tony's use of the conversion and segmentation techniques in translating "gruelling," possibly with the aid of *Bing Dictionary* and *Google Translate*, lead to both class and unit shifts that read more natural-sounding than literal translation. These shifts also correspond to Newmark's third and fourth types of translation shifts (1988) respectively as "literal translation is grammatically possible but may not fit the natural usage in the TL" and "the transposition technique as the replacement of a virtual lexical gap by a grammatical structure."

However, Tony was unsure of whether the translation shifts he made actually improved his TT quality because he thought that "only readers will find some mistakes and improper usage in my Chinese translation, and the readers will give me advice on improving the translation." In addition, throughout the 18-week translation course, Tony claimed that he had learned the timing of using some translation techniques, particularly the conversion technique (Vinay & Darbelnet, 1958/1995; Loh, 1958b) and he also stressed the importance of translation techniques for improving TT quality.

As his retrospective verbal report further indicates, Tony mentioned that "I translated the ST based on the context and personal experience, and then re-edited and checked the TT." The reason why he made linguistic changes is that he felt dissatisfied with his own translation, so he resorted to authoritative online information (e.g. *Wikipedia*) as a shortcut to improving his translation. For translating and refining short and long sentences, Tony reported that *Google Translate* provided him with a helpful hint. Hence, the implication for translator training is that undergraduate students shall be taught to carefully use translation techniques and consult web resources (e.g. online encyclopedias and machine translation) for making translation shifts.

Table 2. Tony's Class and Unit Shifts

Timeframe (h:m:s.ms)	On-screen Windows/Tabs	English ST Segments (underlined words, terms, proper nouns and sentences)	Underlined Translation Shifts in the Chinese TT	Consultation of Web Resources	Retrospective Verbal Reports
1:20:19.50	<i>Bing Dictionary</i> ( <a href="https://cn.bing.com/dict/">https://cn.bing.com/dict/</a> )	At the age of 17 Gentileschi was raped by the painter Agostino Tassi and then faced a <u>gruelling</u> court case.	她在17歲時曾被聘請(的)繪畫教師阿戈斯蒂諾·塔西強姦, 之後面對這場官司, 她備受折磨。	Check [ <i>Bing Dictionary</i> ]:  “極度疲勞的” ( <i>exhausted</i> ), “折磨人的” ( <i>torturing</i> )	“During the process of translation, long sentences with more information are easy for me to picture the scenario so that I can give a more colorful version. ‘Gruelling’ here is an adjective, but in my translation it becomes a noun [...] But short sentences for me are hard to translate, and they gave me less information, so I must translate this sentence with my own ideas and knowledge [...] I copied the whole sentence to <i>Google Translate</i> and see how <i>Google</i> translated it. <i>Google Translate</i> can give me a helpful hint.”
1:22:43.21	<i>Google Translate</i> ( <a href="https://translate.google.com.tw/">https://translate.google.com.tw/</a> )		(back-translation: <i>When she was 17 years old, she was raped by the employed painting teacher Agostino Tassi, and then while facing the court case, she suffered from a lot of torture.</i> )	Check [ <i>Google Translate</i> ]:  在17歲時, Gentileschi 被畫家阿戈斯蒂諾·塔西強姦, 然後面對一個艱苦的法庭案件。  (back-translation: <i>At the age of 17,</i>	

*Gentileschi was raped by the painter Agostino Tassi, and then faced a tough court case.)*

### 5.2.2 Structural Shift: Sherry's Case Study

Another student subject Sherry reported that she made more translation shifts in long sentences such as relative clauses, "I underlined the adjective (relative) clauses and circled the noun clauses to check the meaning of the sentences [...] so I separated the sentences and tried to find fluent Chinese."

Table 3 displays Sherry's transcription records of a structural shift (Catford, 1965) in "appear in various roles." Sherry looked up the two ST words "various" and "appear in" in *Yahoo Dictionary* and *Linguee Dictionary*, and she further read an online Chinese *BBC* news article about the background information of the female artist Artemisia Gentileschi. According to her retrospective verbal report, Sherry reported that she roughly understood the miserable story of Artemisia Gentileschi and applied the inversion/modulation technique (Loh, 1958b, p. 229) to modify "自畫像" (*self-portraits*) with "呈現各種角色的" (*presenting various roles*), but she felt that her Chinese translation, "她繼而畫出許多呈現各種角色的自畫像" (*She then kept drawing [many presenting various roles] self-portraits*) was still imperfect because she lacked enough background knowledge. Sherry's structural shift also refers to Newmark's second type of translation shift (1988) as "the SL grammatical structure does not exist in the TL."

As Sherry's retrospective verbal report further suggests, the combination of the screen-recording and retrospective verbalization methods could be pedagogically useful to probe into why some undergraduate students make dissatisfying translation shifts in TT expressions, possibly because of their over-reliance on online dictionaries or lack of an in-depth understanding of the background knowledge in the ST.

Sherry's retrospective comments also point out that online information is of importance for locating the translations of proper nouns and exact meanings of the ST words. More importantly, she checked relevant background information (e.g. *Taipei Museum's* art news article) and restructured the TT sentences mainly for more fluent expressions. This explains that the causes of translation shifts are related to not only fluent TT expressions as the characteristics of the TL (Kade, 1968) but also to the level of the translators' understanding of background knowledge in the ST.

From the retrospective verbal report, Sherry claimed that the translation shifts she made might improve TT quality to some extent (Bahramy & Aidinlou, 2014), but she still needed more time to gain background knowledge before translating the ST. Over the 18-week translation course, Sherry had learned the usefulness of the inversion and conversion techniques (Vinay & Darbelnet, 1958/1995; Loh, 1958b) for making translation shifts in the TT. Another implication for translator training is that the combined methodology could not only recall students' use of internalized translation techniques but also make them more focused on acquiring background knowledge from web resources to make better translation shifts.

Table 3. Sherry's Structural Shift

Timeframe (h:m:s.ms)	On-screen Windows/Tabs	English ST Segments (underlined words, terms, proper nouns and sentences)	Underlined Translation Shifts in the Chinese TT	Consultation of Web Resources	Retrospective Verbal Reports
1:09:48.20	<i>Yahoo Dictionary</i> ( <a href="http://tw.diction.ary.search.yahoo.com">http://tw.diction.ary.search.yahoo.com</a> )	She went on to paint numerous self-portraits <u>in which she appears in various roles.</u>	她繼而畫出許多呈現各種角色的自畫像。 (back-translation: <i>She then kept drawing [many presenting various roles] self-portraits.</i> )	Check [ <i>Yahoo Dictionary</i> ]: "不同的" ( <i>different</i> ), "各種各樣的" ( <i>various kinds of</i> )	"I think 'in which she appears in various roles' is difficult for me because this sentence is also a relative clause, and I couldn't tell the exact meaning of 'appear,' so I think the translation is
1:09:57.50	<i>BBC 英倫網: 走出強姦和折磨</i>			Check <i>BBC Chinese news</i> : "The Female Painter Who Steps	

1:12:24.80	<p>陰影的女畫家 (<a href="https://www.bbc.com/ukchina/trad/vert-cul-45423455">https://www.bbc.com/ukchina/trad/vert-cul-45423455</a>)</p> <p><i>Linguee Dictionary</i> (<a href="http://cn.linguee.com">http://cn.linguee.com</a>)</p>	<p>Out of the Shadows of Rape and Torture”</p> <p>Check [<i>Linguee Dictionary</i>]:</p> <p>“亮相” (<i>show up</i>), “登出來” (<i>publish</i>)</p>	<p>not good [...] I remember I just checked ‘appear in’ but couldn’t find any useful (online) results.”</p>
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### 5.2.3 Shifts of Expression: Helena’s Case Study

The last student subject Helena reported that she changed the passives into active voice as translation shifts. Table 4 displays Helena’s transcription records of shifts of expression (Popovič, 1970; Munday, 2008) in “underrepresented” and “astonishing.” Although she just looked up the ST word “underrepresented” in *Bing Dictionary*, Helena did not follow the literal meanings of *Bing Dictionary* but freely translated the connotative meaning of “underrepresented” as “以男性為主導的” (*mainly dominated by men*). Helena also employed the equivalence technique [1] (p. 90) to make the form of her translation more variable by rendering the ST word “astonishing” into a Chinese four-character idiom “唏噓不已” (*not stop sighing*) and even adding another idiom “獨樹一幟” (*show one’s unique style*) which has no equivalent to the ST segment.

From her retrospective verbalization, Helena reported that she allowed for the ST text type as a news article and emphasized that the Chinese translation would have been lengthy and unattractive if she had not made any linguistic changes. Additionally, Helena claimed that she did not frequently use translation techniques, and the web resources she browsed such as online dictionaries and *Wikipedia* were less important for making linguistic changes, though reading *Wikipedia* and online articles could assist her in understanding the background knowledge of the ST before she made translation shifts. On the contrary, she argued that personal translation skills outweigh web resources in terms of making translation shifts. As Helena’s retrospective verbal report suggests, it was noted that the function of a translation and the translator’s style are important factors to translation shifts, and this jibes with Shih’s findings (2012, p. 59).

According to her retrospective comments, Helena believed that the translation shifts she made could improve TT quality (Bahramy & Aidinlou, 2014), and she also found the conversion and restructuring techniques (Vinay & Darbelnet, 1958/1995; Loh, 1958b) most useful for making translation shifts after the 18-week translation course. Helena also felt satisfied with the refined TT expressions full of her personal style.

Table 4. Helena’s Shifts of Expression

Timeframe (h:m:s.ms)	On-screen Windows/Tabs	English ST Segments (underlined words, terms, proper nouns and sentences)	Underlined Translation Shifts in the Chinese TT	Consultation of Web Resources	Retrospective Verbal Reports
20:25.20	<i>Bing Dictionary</i> ( <a href="https://cn.bing.com/dict/">https://cn.bing.com/dict/</a> )	In recent decades, there has been growing interest in the artist, because of both her <u>astonishing</u> personal story and increasing concern that	近幾十年來，由於阿特蜜希雅令人唏噓不已的人生經歷以及在通常以男性為主導的藝術領域的獨樹一幟，使她備受關注。 (back-translation: <i>In the past decade, because of Artemisia’s life</i> )	Check [ <i>Bing Dictionary</i> ]: “未被充分代表的” ( <i>not fully representative</i> ), “代表性不足” ( <i>insufficiently representative</i> )	“I changed the passive voice to active voice, like I translated ‘underrepresented’ into males’ contribution to art, and I also checked the meaning of ‘underrepresented’.”

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female painters have been <u>under- represented</u> in art history and museum displays.	<i>experience which <u>makes people not stop sighing and showing her unique style in the art field mainly dominated by men, [these causes] make her get increasing concern.)</u></i>
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## 6. Conclusion

The pilot study combining three undergraduate students' screen-recording data and retrospective verbal reports takes an initiative to explore the causes and types of translation shifts (i.e. class, unit, structural and expression shifts) made in these students' web-searching process. The preliminary findings are as follows.

Firstly, the combination of the screen-recording and retrospective verbalization methods could diagnose why some undergraduate students as novice translators cannot make satisfying translation shifts, possibly because of their over-dependence on online dictionaries or lack of sufficient background knowledge in the ST. Moreover, the methodology of the pilot study demonstrates the implications of not only recalling students' application of internalized translation techniques (e.g. the conversion and inversion/restructuring techniques) but also prompting them to reflect on how to make different types of translation shifts (Jabak et al., 2016) by learning background knowledge from useful online encyclopedias or parallel texts with similar expressions.

Secondly, although most students' retrospective verbal reports pointed to the usefulness of web resources for refining TT expressions as a main cause of translation shifts, translation shifts may also reveal students' personal translator's style. As the three student subjects' web-searching behavior was less diversified, translator trainers should teach students to cross-check various types of web resources with a pinch of salt while making linguistic changes which may be related to TT function and the translator's style.

Future studies could replicate the pilot study based on the following suggestions. Firstly, because of the limited sample size in the pilot study, future studies shall compare more postgraduate students' or professional translators' web-searching behavior with that of undergraduate students to picture universal translators' behavior in making translation shifts (particularly the inference to TT function, personal translation skills and the translator's style). Secondly, although most student subjects in the pilot study felt that the translation shifts they made might improve TT quality in some way (Bahramy & Aidinlou, 2014), future studies shall include more subjects' translation quality assessment data to objectively analyze the causes and effects of translation shifts.

## Acknowledgements

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### Notes

Note 1. The link of this art news article can be found at:

<https://www.theartnewspaper.com/news/london-prepares-to-celebrate-artemis-gentileschi-in-2020>.

Note 2. The online test of text readability can be found at:

<https://readabilityformulas.com/flesch-reading-ease-readability-formula.php>.

Note 3. The literal meanings and translations of all the Chinese words, phrases and TT sentences are provided throughout the article.

### Appendix 1: Consent Form

Dear student,

This is Dr. Leo Li-You, Chang, an assistant professor from Department of Applied English, Chaoyang University of Technology. I sincerely invite you to participate in a research project. Before I obtain your approval, I will explain the purposes and procedures of the research project in the following.

The purposes of the research project are firstly, to investigate any linguistic changes at lexical and syntactic levels made in your translation process, particularly in your web-searching process as a problem-solving and decision-making approach. Secondly, to explore your retrospective comments on those linguistic changes occurring in your use of translation techniques and web resources through a piece of audiovisual software *BB Flashback*.

The procedures of the research project involve the following steps. Firstly, you will be asked to translate an article from English into Chinese. During the translation task, your translation behaviors will be recorded by *BB Flashback* at the same time, including your image, the process of using web resources, and your production of the Chinese translation on an MS Word file. You are allowed to use any web resources or reference materials to solve your translation problems and choose translation equivalents. Shortly after the translation task, I will conduct a retrospective interview with you by replaying and cuing part of your video file produced by *BB Flashback*. You will be further asked to make retrospective comments on any linguistic changes in your translation product. Your anonymity will be protected, and a codename will be used in my research data.

Please tick the following boxes and sign if you agree to become a subject in the research project:

- As a participant, I will participate in Dr Chang’s research project on time. If I fail to attend, I will notify Dr. Chang in advance and let him reschedule for me.
- I understand the purposes and procedures of the research project and agree to be a participant.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## Appendix 2: Demographic Form

1. Full name (in English): \_\_\_\_\_
2. Gender: M / F
3. Age: \_\_\_\_\_
4. Educational background:
  - Bachelor's degree (BA/BSc) in \_\_\_\_\_
  - Master's degree (MA/MSc) in \_\_\_\_\_
  - PhD in \_\_\_\_\_
  - Other degrees; please specify: \_\_\_\_\_
5. English proficiency test scores: (multiple choices)
  - IELTS: \_\_\_\_\_
  - TOEFL (iBT): \_\_\_\_\_
  - TOEIC: \_\_\_\_\_
  - College English Test Band 4 and Band 6 (CET): \_\_\_\_\_
  - Other tests; please specify: \_\_\_\_\_
6. Have you ever practiced translating in a translation course *or* worked as a freelance translator during your undergraduate/postgraduate study?
  - Yes  NoIf yes, please specify what text type(s) you translated: (multiple choices)
  - Journalism (news articles, commentaries, columns, etc.)
  - Business, economics, or finance (economic articles, statistical data, etc.)
  - Legal (legal cases, regulations, provisions, etc.)
  - Literature (prose, poetry, novels, etc.)
  - Medical, technology, engineering or science
  - Tourism (tourism articles, reviews, blogs, etc.)
  - Manuals, handbooks, instructions or specifications
  - Subtitles
  - Other text types; please specify: \_\_\_\_\_
7. If your answer to Question 6 is yes, how long have you practiced translating: \_\_\_\_\_ year(s)

## Appendix 3: Source Text of the Pilot Study

London's National Gallery plans major Artemisia Gentileschi show in 2020

In 2020, the National Gallery in London is to hold a major exhibition on Artemisia Gentileschi, arguably Europe's greatest female Old Master (April-July 2020). This follows its recent purchase of her Self-portrait as Saint Catherine of Alexandria (1615-17).

The exhibition will be focused on paintings that have almost universally accepted attributions, excluding those that are seriously questioned by some specialists. Letizia Treves, the National Gallery's curator, says that this will enable us to see "the real Artemisia". In recent decades, there has been growing interest in the artist, because of both her astonishing personal story and increasing concern that female painters have been underrepresented in art history and museum displays.

Treves points out that Artemisia's "life story is intertwined with her art". Born in Rome in 1593, she was trained by her father Orazio Gentileschi, a distinguished follower of Caravaggio. At the age of 17 Gentileschi was raped by the painter Agostino Tassi and then faced a gruelling court case. She went on to paint numerous self-portraits in which she appears in various roles. In 1639 Artemisia joined Orazio in London where she was working at the court of Charles I. She died in 1654 or shortly afterwards, probably in Naples.

Artemisia Gentileschi's Self-portrait as Saint Catherine of Alexandria (1615-17) was a previously unknown work, which came up in a Parisian auction held by Christophe Joron-Derem at Hôtel Drouot in December 2017, with an estimate of €300,000 to €400,000. It sold to two dealers, Milan-based Marco Voena and London-based Fabrizio Moretti, for €2.4m (with fees). The National Gallery then bought the painting at a substantial mark-up for £3.6m, mainly with funds from its American Friends. The picture has now been cleaned, revealing the quality of the work and confirming the Gentileschi attribution.



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# “Functional Equivalence” Cases in E-C Translation of Long Sentences in EST Text and Their Implications to Translation Teaching

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## Abstract

English for Science and Technology (EST) translation plays an increasingly significant role in the scientific field. Compared with the general non-technical English, EST is characterized by its extensive use of long sentences containing enormous amounts of information and complex structures. There are great differences in sentence patterns of EST and of Chinese for Science and Technology. Through case studies, this paper explores the emerging “Functional Equivalence” cases in Chinese translation of long sentences in EST by analyzing the text hypotaxis-prominent English sentences, which are compact in structure. In contrast, parataxis-prominent Chinese sentences are loose in structure. The paper induces that as the effect of EST (one of the information typed texts) on the reader is more univocal than other texts because it aims to convey information to the reader and requires high accuracy. The paper argues that Functional Equivalence Theory can guide the teaching of EST translation due to the fact that it emphasizes the target reader’s response.

**Keywords:** Functional Equivalence Theory; EST long sentence; translation

## 1. Introduction

With the reform and opening-up of China, many western translation theories and standards have been introduced into the country. For example, Peter Newmark, one of the communicative school representatives, has made great contribution, arguing that communicative translation attempts to produce an effect as close as possible to that obtained on the readers of the original. In Nida (1986) ’s view, translating activity consists in reproducing in the receptor language the closest natural equivalent of the source-language message, first in terms of meaning and secondly in terms of style (Hu, 1996).

There are complex structures and varied modifiers in EST long sentences, so it is more difficult for readers to grasp the meaning of EST long sentences. Nida put forward Functional Equivalence Theory and held that translation means reproducing resource message by most natural equivalent language from semantics to concept to get a more comprehensive understanding. This theory could act as a standard applied in the translation of EST long sentences (He, 1998).

In translation activity, it is necessary for translators to learn the function of the texts and understand the differences in expression between the source language and target language to achieve functional equivalence and ensure accuracy and objectivity of translation (Gu, 2017).

Researches abroad and home are mostly based on Functional Equivalence Theory or EST long sentences separately and few combines them both. According to Huang (2017), when translating EST long sentences under the guidance of functional equivalence, these four strategies can be taken into consideration: reference, substitution, omission, and lexical articulation to achieve articulation and coherence in the translation.

This paper makes a general description of EST and its characteristics from the syntactical level of the long sentence. It represents the application of functional equivalence in the translation of EST long sentences and suggests translation methods on the rhetoric level under the guidance of Nida’s functional equivalence.

## 2. Functional Equivalence Theory

In the 20th century, translation began to be studied scientifically and systematically. Different schools of western translation theories have their own perspectives toward translation. As one of the most well-known translation theorists and linguists, Eugene A. Nida puts an emphasis on the outcome of what the reader has received. The emphasis on the outcome is more suitable for translating materials requiring higher accuracy.

### 2.1 Definition of Functional Equivalence Theory

According to Nida, in translation “Functional Equivalence” should be achieved between two languages rather than the rigid correspondence of words. This theory states that translating is a communicating process, and what the reader has received is emphasized. “Translating consists in reproducing in the receptor language the closest natural equivalent of the source-language message, firstly in terms of meaning and secondly in terms of style.” (Nida and Taber 1969 : 12 ) That is to say, Nida believes that the meaning of translation is more important than the form.

### 2.2 The Development of Functional Equivalence Theory

The development process of Functional Equivalence Theory can be generalized into three phases (Fang, 1989). In The first phase is from 1959-1964, translators emphasized the connection between “dynamic equivalence” and “formal equivalence.” In 1964, his book *Toward a Science of Translating* first put forward the idea of “dynamic equivalence”, in which one should aim at establishing a dynamic relationship between receptor and message. In other words, dynamic equivalence gives priority to the receptor’s response with less consideration on the form. Differently, formal equivalence pays much attention to the form of text.

The second phase is from 1969 to 1984. In his book *Language, Culture, and Translation*, Nida (1969) clearly considers “dynamic equivalence” as “the degree to which the receptors of the message in the receptor language respond to it in substantially the same manner as the receptors in the source language.” The concept “formal equivalence” was also replaced by the concept of “formal correspondence,” which is opposed to “dynamic equivalence.”

The third phase is from 1984 to the present time. In 1986, “dynamic equivalence” was replaced by “functional equivalence” in Nida and De Waard’s co-authored book *From One Language to Another*. He pointed out that what makes “functional equivalence” unique is that it prioritizes the receptor’s response instead of the verbal consistency between the original and the receptor’s language. According to Nida’s theory, “The focus of translation should not be the way of displaying, but to be the response of reader to the translated version” (Tan, 1999), which should be contrasted with the possible response made by readers to the original text.

### 2.3 Key Points of Functional Equivalence Theory

There are three aspects in Nida’s Functional Equivalence Theory. The first one is lexical equivalence, the second one is syntactical equivalence, and the third one is discourse equivalence. Nida (1978) suggests that meaning is the most important, and form comes the second among these three aspects. If the change of form is still not adequate for expressing the semantics and culture of the original text, the translation technique of reinvention can be used to solve the translation issues derived from cultural differences.

## 3. An Introduction of English for Science and Technology

### 3.1 The Classification of English for Science and Technology

EST (English for Science and Technology) covers a large scope. In *English Varieties and Translation* (文体与翻译), Liu (1998) briefly described his opinion on EST, arguing that EST is generally written or spoken English regarding science and technology. He also attempted to classify EST into five categories for a better analysis of their characteristics:

1. Scientific and technological books, scientific research papers, scientific and technological reports, experimental reports and schemes;
2. All kinds of scientific and technological information and written materials;
3. Manuals describing the structure and operation procedures of machines, instruments, meters, machinery, etc.;
4. Terminology can be used in talks, meetings and conversations concerning science and technology;
5. Oral commentary or written captions are used in scientific and technological films and videos.

### 3.2 Previous Research on Translation of EST

It is believed that EST first came into being in the 1950s, along with the development of science and technology. During the 1980s, studies on EST translation and theory were comprehensively conducted. A large number of papers about EST translation study were published in China’s highly influential journal *Chinese Translators* (中国翻译), founded in 1979) in order to explore translation theory and to find efficient translating skills. The journal discusses extensively the translation of pragmatic styles. Another journal on translation is the *Chinese Science and Technology Translators Journal* (中国科技翻译) founded in 1988. As a leading journal for EST, the journal aims to encourage the study of theory and practice of translation, facilitate the study on EST translation. EST translation study advanced enormously in 1980s thanks to the above-mentioned journals as a platform.

Li (2009) believed that the terms, logic, formulas, tables and numbers in EST texts should be understood and translated accurately; EST translators should express concisely and smoothly and conform to the international standards when rendering style, terms, abbreviations, symbols, formulas and measurements, etc. From a stylistic perspective, Fang (1989) pointed out that literal style and technical style are interpenetrated due to translators' emotional expressions in certain types of EST translation. Therefore, EST translation can be persuasive rather than uncreative and unimaginative.

### 3.3 Syntactic Characteristics and Long Sentences of EST

Compared with literary language, EST has remarkable linguistic features, mainly in two aspects: lexical and syntactic. Many technical terms can be found in the lexical aspect, which requires translators to consult the relevant professional books to a great extent. Words are the basic units of sentences, according to statistical material. In EST articles, on average, the number of words in an EST sentence is from 20 to 30. EST is more academic, containing more words and compound sentences than other types of articles.

#### 3.3.1 The Differences between English and Chinese Long Sentences

English is hypotaxis-prominent, while Chinese is parataxis-prominent. English sentences are well structured, while Chinese ones are loosely structured. English is used to putting the main point in the sentence-initial subject, then adding additional elements into it, while Chinese is used to stating first and commenting then. A long sentence refers to a simple sentence that contains pretty phrases attributive and adverbial or refers to the subordinate clause that contains various clauses. EST long sentence is more flexible in connection mode.

Nida points out that the accuracy of content should not be judged primarily in terms of "being true" to the author but is not causing misunderstanding of the message by those for whom the translation is intended. Therefore, when translating an EST long sentence into Chinese, one should reorganize the sentence according to Chinese means of expression so as to ensure natural translation.

#### 3.3.2 Syntactic Characteristics of EST

Generally speaking, EST sentences are expressed in a well-organized and original structure to achieve a scientific style, objectivity, conciseness and formality. In some cases, one paragraph is even made up of one single sentence. In Nida's theory, functional equivalence translation is defined as "the closest natural equivalent to the source-language message." In order to accurately understand the meaning of words, context must be taken into consideration. Based on the study of EST texts, there are several syntactic characteristics of EST long sentences, including the wide use of nominalization structure, passive voice and non-finite verbs.

##### 3.3.2.1 Nominalization

Nominalization generally refers to the conversion from a verb or an adjective into a noun or noun phrase grammatically, which essentially conveys an equivalent meaning with its correspondent verb or adjective. Considering the priority given to the receptor's response, the content implied by the nominalization words should be preserved and efficiently communicated by making necessary formal changes that may even depart from the English text. Therefore, converting noun phrases into other forms of the phrase will make the translation easier to understand for Chinese receptors (see the following examples collected from the practical context).

###### Example 1

Source text: Harmonization of the definition of "producer," "distributor," "placing on the market" in all two Directives would solve this problem.

Translation: 一旦将两项法规中“生产者”和“分销商”，“投放市场”和“上市”的概念进行统一，这些问题将迎刃而解。(Yīdàn jiāng liǎng xiàng fǎguī zhōng “shēngchǎn zhě” hé “fēnxiāo shāng”, “tóufàng shìchǎng” hé “shàngshì” de gàiniàn jinxíng tǒngyī, zhèxiē wèntí jiāng yíng rèn'ér jiě.) -Translation by the author Cheng Hu, same as below unless specified

Here in the English version, the nominalization of the verb "harmonize" is to lay stress on the action, thus making it the subject of the original sentence. Due to the difference between the linguistic patterns of the two languages, however, English language conveys the same meaning in a way different than Chinese. In order to avoid translationese, the translation converted the noun "harmonization" into its verb form "harmonize" and, most importantly, adopted an "if" adverbial clause. Although the new sentence structure totally departs from the original text, it effectively reproduces the meaning of the message and is quite acceptable for Chinese receptors.

### 3.3.2.2 *Passive Voice*

Passive voice is extensively used in EST to emphasize objective facts and stress the most important information in the sentence. In EST texts, most sentences are impersonal ones, because it usually makes a concise and objective description on the object, not emphasizing the behavior conductor. At least one-third of verbs in EST texts use passive voice. In this way, the sentences seldom start with “I,” “you,” or “the operator to show the subjective attitude of the source language (see the following example).

#### Example 2

Source Text: When the exploration has been completed, all test holes and pits should be carefully filled to prevent human and stock injury and compacted to prevent leaks.

Translation: 勘察完成后, 应仔细填实所有试验孔和实验坑, 以防止人员和牲畜受伤, 同时应将其压实以防止泄露。(kān chá wán chéng hòu , yīng zǐ xì tián shí suǒ yǒu shì yàn kǒng hé shí yàn kēng , yì fáng zhǐ rén yuán hé shēng chù shòu shāng , tóng shí yìng jiàng jī yà shí yǐ fáng zhǐ xiè lòu.)

In this sentence, “has been completed” is translated as “完成后” (wán chéng hòu) instead of the directly translated version as “被完成,” because EST texts focus on objectivity and authenticity of the expression, the translation ought to pay more emphasis on the meaning of the source text instead of linguistic structure. Therefore, according to Nida’s translation theory, this sentence should be translated using an active voice in Chinese and keeping the original subject.

### 3.3.2.3 *Non-finite verbs*

EST requires explicit and concise description, so the use of non-finite verbs is more frequent than daily English. Infinitive verbs, participle and gerund, are usually adopted to replace the function of the clause (see the following example).

#### Example 3

Source text: By the time of the Montevideo meeting, ninety-eight countries had ratified the pop treaty, committing themselves to remove the “dirty dozen” chemicals from international commerce.

Translation: 在蒙得维的亚会议上, 九十八个国家批准了《持久性有机污染物公约》, 致力于将“十二金刚”这些化学物质驱逐出国际贸易。(zài méng de wéi de yà huì yì shàng , jiǔ shí bā gè guó jiā pī zhǔn le chí jiǔ xìng yǒu jī wū rǎn wù gōng yuē , zhì lì yú jiàng “shí èr jīn gāng ” zhè xiē huà xué wù zhì qū zhū chū guó jì mào yì.)

In this sentence, “committing” is a present participial phrase that served as an adverbial modifier, complementing those ninety-eight countries’ efforts for the treaty.

## 4. Application of Functional Equivalence Theory in the Teaching of EST Long Sentence Translation

Each language has its own special features; EST is also no exception and has its own terminology, sentence order and patterns, unique discourse structures, etc. In the teaching of translation practice, many translation methods and skills are adopted so as to establish a relationship between the translated text (Chinese) and its Chinese receptor, which is expected to be substantially the same as the relationship between the original message (in English) and the English receptor.

### 4.1 *The Way of Testing Nida’s Theory in EST Translation*

In Nida’s Functional Equivalence Theory, the translation of EST is divided into two steps **under** the guidance of functional equivalence; that is, the lexical equivalence and the syntactic equivalence. In addition, the discourse equivalence is also highlighted in translation.

At the lexical level, for the translator, the beginning of the translation process involves understanding the meaning of the words. Scientific articles mainly deal with the science and technology arguments or illustrate some natural laws, scientific principles and phenomena. In order to make the translation more conforming to these professional words in a specialized field, the translator is required to devote more energy to accumulating and understanding more background knowledge.

Then syntactically, extensive use of passive voice is the most distinctive feature of EST. Generally speaking, the passive voice always puts more emphasis upon the subject to highlight the important science issues so as to accurately convey the scientific information in all-around aspects as far as possible to make the readers grasp the core points of the texts easily to achieve equivalence in syntactical level.

The long and complex English sentence structure is featured with the use of a variety of modifiers, phrases, coordinate components and subordinate clauses; on the contrary, Chinese prefer to use short sentences, relying on the inner meaning to

express the logical relationship in the sentence. Therefore, when translating long and difficult sentences, the translators should first read the whole sentence to grasp the core part of the sentence. That is to say, analyzing and finding out the subject, the predicate and object is the crucial premise to understand the whole sentence. What's more, much consideration is needed to give the tense, voice and tone of the sentence. Finally, appropriate, cohesive words should be selected to translate these difficult sentences.

Discourse is a specimen of linguistic material displaying structural and semantic coherence, unity and completeness (Nida, 1964). As Nida put forward, the discourse as a whole plays a role of conveying a message, which is also called the text. The discourse is the essence of grasping the whole text. The equivalence at the textual level is mainly manifested by cohesion and coherence. In order to achieve correspondence in meaning and equivalence in function between source and target texts, it is essential for the translator to attach great importance to the expression of logical relation as well as the reasonable organization of content.

On the strength of previous research findings, this paper concludes four methods as follows to apply Functional Equivalence Theory in the teaching of translating EST long sentences.

#### 4.2 Following the Original Order

When the thought and meaning of EST are consistent with those in Chinese in the matter of logical thought, sentence structure and spatial-temporal order, it is necessary to follow the original order, which acts as the preferred method when translating EST long sentences. Syntactically, it is the method to achieve functional equivalence easily because it can reproduce original information both in semantic and style (see Example 4).

##### Example 4

Source text: In this study, we took advantage of the exogenous administration of recombinant RANKL as a means of synchronously inducing M-cell differentiation throughout the small intestinal epithelium to identify genes induced during the process of M-cell differentiation (Yan, 2000)

Translation: 在本研究中, 我们利用外源添加重组 RANL 作为手段在整个小肠上皮中同步 M 细胞分化, 从而去认定在 M 细胞分化过程中被诱导的基因。(Zài běn yán jiū zhòng , wǒ men lì yòng wài yuán tiān jiā chóng zǔ RANL zuò wéi shǒu duàn zài zhěng gè xiǎo cháng shàng pí zhòng tóng bù M xì bāo fēn huà , c óng ér qù r èn d ì ng zài M xì bāo fēn huà guò chéng zhòng bèi yòu dǎo de jī yīn ).

The above example adopts the sequential method. Its expression and logic structure are basically the same as Chinese. The main part of the sentence is “we took advantage of...to identify...”, so it ought to put the main part first and then add an object, adverbial clause of purpose, the adverbial clause of manner and temporal adverbial into the sentence.

#### 4.3 Inverting the Original Order

Even though the translator could follow the original order when translating EST long sentences that have similar word order and logic, quite a few EST long sentences differ from Chinese sentences in time sequence and logic sequence. In this case, translators should invest the original order, ensuring translation is more readable for Chinese readers to achieve functional equivalence (see the following example).

##### Example 5

Source text: It is fully as important that a machine element is made of a material that has properties suitable for the conditions of service as it is for the load and stresses to be accurately determined.

Translation: 荷载和压力应该计算正确, 机器零件应该用性能符合工作条件的材料制造。这两者都是十分重要的。(Hèzǎi hé yālì yīnggāi jìsuàn zhèngquè, jīqì língjiàn yīnggāi yòng xìngnéng fúhé gōngzuò tiáojiàn de cáiliào zhìzào. Zhè liǎng zhě dōu shì shí fèn zhòngyào de.)

There are three clauses in this sentence; the first one is a subject clause lead by “that,” this subject clause including an attributive clause “that has properties,” the third one is the adverbial clause “as it is for the load.” Analyzing the sentence structure clearly and comprehending relation and sequence among sentences would make translation easier to achieve equivalence between original readers and target readers’ responses.

#### 4.4 Division Method

In Functional Equivalence Theory, when form and content run into conflict, content equivalence has priority over form equivalence. In some EST long sentences, some phrases or clauses don't have a really compact connection, and some structures are too complex to be translated as one Chinese sentence. Under these circumstances, the translator can consider

the division method, dividing the source sentence into several independent Chinese clauses to make sure translation is more acceptable for Chinese readers (see Example 6).

#### Example 6

Source text: Ms. Jensen found herself in an awkward position: she was U.S. liaison to an agreement her government hadn't ratified and overseer of a trove of information about chemicals over whose international fate she had no control.

Translation: 詹森女士发现自己处境尴尬: 她虽然担任了此协议的美方联络员, 但是她的政府并没有认可此协议; 她虽然监管着这些化学物质的重要信息, 但是无法控制这些物质的国际命运。(Zhān sēn nǚ shì fà xiàn zì jǐ chǔ jìng gān gà: tā suī rán dān rèn le cǐ xié yì de měi fāng lián luò yuán, dàn shì tā de zhèng fǔ bìng méi yǒu rèn kě cǐ xié yì; tā suī rán jiān guǎn zhāo zhè xiē huà xué wù zhì de zhòng yào xìn xī, dàn shì mó fǎ kòng zhì zhè xiē wù zhì de guó jì mìng yùn).

In this sentence, the main clause is “Ms. Jensen found herself in an awkward position,” the content after the colon is the explanation for the awkward position, and “and” connects two conjunction components. As for “She was U.S. liaison to an agreement”, “her government hadn't ratified” follows “agreement,” “overseer of a trove of information about chemicals” is also a conjunction component, and “whose” leads the following attributive clause. This long sentence including several meanings; therefore, it can be divided into several short clauses. If the translator translates this long sentence according to the original order and form, the translation would be a rigmarole, and response correspondence can't be attained. In the process of translation, adding some conjunction words is also an effective method to ensure expression is more fluent.

#### 4.5 Combination Method

When dealing with some EST long sentences, using the above methods only may result in difficulty; as Nida once said, “Sometimes it is not only reasonable but also extremely advisable to reorganize the formal structure of the original text.”

#### Example 7

Source text: Rocket research has confirmed a strange fact which had already been suspected there is a “high-temperature belt” in the atmosphere, with its center roughly thirty miles above the ground.

Translation: 人们早就怀疑, 大气层中有一个“高温带”, 其中心在距离地面约三十英里的高空, 利用火箭进行研究后, 这一奇异的事实已得到证实。(rén men zǎo jiù huái yí, dà qì céng zhōng yǒu yí gè “gāo wēn dài”, jī zhōng xīn zài jù lí dì miàn yāo sān shí yīng lí de gāo kōng, lì yòng huǒ jiàn jìn xíng yán jiū hòu, zhè yī qí yì de shì shí yǐ dé dào zhèng shí).

This sentence can be divided into four parts. “Rocket...fact” is the main part of the sentence, “which” introduces an attributive clause, “there is” leads an appositive clause, “with...” acts as a decorative component for “high-temperature belt.” After considering these four parts, the translator can translate the main part solely and combine the rest.

Based on the above discussion of four EST translation methods, no matter whether literal translation or literal translation is employed, those four methods should be considered. One must not translate the message by matching the words or grammatical structure between Chinese and English because a translator should strive for equivalence rather than identity.

### 5. Conclusion

As a kind of information type text, English for Science and Technology (EST) is characterized by frequent use of nominalization, passive voice and non-finite verb at the syntactic level, and there is no uniform standard to guide the translation work. The translation of EST requires high preciseness, accuracy and objectivity. In this respect, Functional Equivalence Theory is adaptive because of its high priority on the reader's response.

Nida's view on language and culture, readers' response, and science of translation is concisely reviewed in the paper. The paper evaluates Nida's functional equivalence and analyses the syntactical features of EST at the pragmatic level based on examples, as well as deals with the teaching of translation practice by selecting the most appropriate translation strategies under the guidance of Nida's Functional Equivalence Theory.

Admittedly, this paper is general research on the characteristics and translation of EST. It is hoped that the understanding and application of Functional Equivalence Theory in the translation of EST can inspire readers' comprehension and accelerate the process of scientific exchanges between China and other countries.

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# The Co-effect of Law and Morality: on the Legitimacy of China's Quarantine Measures Against COVID-19

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## Abstract

Over the past few decades, the world has seen the dispute between the modern rule of law and traditional rule of morality, and the conflict of these two models of social governance sharpens during COVID-19. The rule of both morality and law in China, which has been criticized by the western world, was proved to be efficient during the campaign against COVID-19. China's quarantine measures constitute an important part of China's anti-pandemic combat. At present, such countries like the USA, the UK, and France, which have failed to respond adequately to the pandemic, are trying to condemn China by doubting the legitimacy of China's quarantine measures to transfer the domestic public sight and cover up their failure. This paper first presents the legal basis of China's quarantine measures in established laws. It is found that quarantine measures in China have a valid basis in the Chinese legal system. Employing the theory of Five Regulations of Using Public Power, the author then analyses the legitimacy of the operation of China's quarantine measures. Based on Confucian theories of sacrificial structure and governance, the author finally reviews and evaluates both the practice and the effect of the rule by morality in China's public administration.

**Keywords:** Quarantine measures, law, morality, China

## 1. Introduction

China was the first country in the world to suffer a serious COVID-19 outbreak and in the face of it, China has taken active and effective responses like imposing quarantine measures to prevent the spread of the pandemic. Wuhan was the first city to be locked down, and then many of the badly hit cities also issued city closure. In these cities, people were strictly limited from going out and public places were closed to prevent close contact. By fully exerting the advantages of China's social governance system of rule of both morality and law, which emphasizes the concepts of "people first", "life first", China has achieved prevention and control of COVID-19 at the early stage of the pandemic.

In the U.S., where a single rule of law model of social governance is implemented with a complete legal system, state governments have been busy debating the legitimacy of anti-pandemic measures and asking for financial support from the central government. As Gavin (2020) stated, "for at least six weeks after the first cases of COVID-19 arrived in the U.S., the federal government—and most state governments—did not attempt to put in place measures like stay-at-home orders, aggressive testing, isolation, contact tracing, or quarantine. Financial barriers to isolation and care remain. This sluggish response gave the virus weeks to spread unfettered and virtually undetected". The governance system of the U.S. is facing a great challenge. The patchwork of varying state policies and often-contradictory messaging about safety measures, including face masks and social distancing, may well amplify the harms to human health and the economy resulting from a much-delayed initial response (Yamey, 2020). In coordination with local or state public health departments and the federal Centers for Disease Control and Prevention (CDC), states in the U.S. grappled with difficult public health responses to the pandemic in the face of great uncertainty (Neal & Joanna, 2020).

Xia (2020) claimed that when public health emergencies occur, all aspects of society are affected by a special situation that is very different from normal times. Under this circumstance, society changes its operation mode. This abnormal state will bring a severe test to the government and the public, and it is undoubtedly a test of a country's governance system.

Otherwise, under the circumstance of COVID-19 spreading globally as an international public health event, most countries are in the struggle combating against the virus. However, some countries (i.e., the USA) that did not effectively combat the epidemic are attempting to criticize China that its quarantine measures violated morality and law. It suggests that rather than ignoring this prejudice of the west, China should defend itself to gain a positive international image and more importantly, to disseminate the experience of fighting against COVID-19 to the people of other countries who are still suffering from the epidemic.

## 2. Analysis from the perspective of law

Isolation of confirmed or suspected patients and their close contacts is currently the most direct and effective prevention and control measure adopted by all countries in the emergencies of infectious diseases.

In the process of prevention and control of COVID-19, the quarantine measures taken by the Chinese government have played a critical role in curbing the spread of the epidemic, and have also been supported by the domestic society and the public. In the process of building a country and a government under the rule of law, the isolation measures of China must follow relevant laws and regulations, and be operated under due procedures and legal principles.

However, during severe acute respiratory syndrome (SARS) in 2003 and COVID-19 in 2019, the epidemic prevention measures, especially quarantine measures, are partly excessively enforced by law enforcement departments, which makes it hard for citizens' freedom rights to be effectively guaranteed during this period.

Though it is of great necessity to appropriately restrict individuals' freedom of going out during the epidemic, the legitimacy of the quarantine measures should be proved under the requirements of rule of law.

In this section, the author will demonstrate the validity of China's quarantine measures utilizing providing established law terms about quarantine measures and analyzing these measures from the perspective of the theory of Five Regulations of Using Public Power.

### 2.1 Established laws

The outbreak of SARS was the turning point of China's legislation to focus on public health emergencies (Liu et al., 2020). During the SARS epidemic, the anti-SARS measures, which involved restriction of personal freedom, had some defects in terms of validity. According to Articles 8 and 9 of *The Law on Legislation of the People's Republic of China (2000)*, the personal freedom of citizens, which relates to quarantine measures, is an absolute reservation of the law. The personal freedom of citizens can be restricted only if there is a legal basis. However, because of the deficiency of established laws, the quarantine measures during the SARS were mainly based on the "emergency regulations for public health emergencies" formulated by the State Council at that time. It was not until the revision of the *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)* in 2004, which provided the legal basis to the quarantine measures on the restriction of personal freedom of citizens. After that, China formulated the *Law of the People's Republic of China on Emergency Response (2007)*. And revised the *Law of the People's Republic of China on Frontier Health and Quarantine (2007)* several times (Chen, 2020). These laws provide a legal basis for the various quarantine measures in response to public health incidents and infectious diseases.

In the current laws and regulations, the basis for the implementation of quarantine measures mainly includes articles 39, 40, and 41 of *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)*, which respectively stipulate the rules of quarantine measures taken by medical institutions, disease prevention and control institutions and governments [6]. Among them, the medical institutions are responsible for medical treatment in the period of quarantine and the designated places for the medical observation of patients, suspected patients, and close contacts. The disease prevention and control institutions are responsible for taking medical treatment for close contacts at the designated place. The governments can quarantine the personnel in the places where the cases of infectious diseases occur. Furthermore, Article 12 of the *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)* stipulates that all individuals in China should accept these anti-epidemic measures. In other words, to prevent the further spread of the epidemic, the individuals who need to be quarantined must cooperate with the related institutions.

However, during the period of COVID-19, more strict measures were adopted throughout the country like locking down roads and blocking management of all residential areas. It put forward challenges and called for reformations to the present system of laws. In the following sections, the author will give a more detailed description of this situation and attempt to give some suggestions.

### 2.2 Analysis from the perspective of the theory of Five Regulations of Using Public Power

Xia (2020) argued that the key to the rule of law is to control the operation of public power. In the operation of state's public power, whether it is decision-making, implementation of the resolution of social contradictions and disputes, five requirements must be applied based on the ideology of rule of law, namely the theory of Five Regulations of Using Public Power and the administrators must constantly examine in the whole process of decision-making, implementation and dispute resolution, whether the operation of public power meets these requirements: lawful purpose, lawful authority, lawful content, lawful means, and lawful procedure.

The legitimacy of the quarantine measures taken by the Chinese government will be analyzed from the perspective of these five rules of using public power.

(1) lawful purpose

When using public power to make certain decisions and behaviors, the administrators must conform to the purpose of laws and the spirit of rule of law. The purpose of the Chinese government to take quarantine measures was to prevent, control, and eliminate the prevalence of the epidemic and to protect public health. As stated by Wendy & Michael (2020), in the theory of public health, quarantines and travel bans are often the first response against new infectious diseases and the most effective means to eliminate and curb the prevalence after the occurrence of infectious diseases. To minimize the loss of the epidemic and quicken the restoration of social order, the Chinese government was wise to take quarantine measures whose purpose is consistent with that of the *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)*.

(2) lawful authority

The use of public power should be carried out within the scope of legal authority. Laws endow power to public power organs and define the corresponding limits of the operation of public power. After the outbreak of the epidemic, the Chinese government transformed the social governance system from normal to abnormal. Compared with the normal time, the public power in the abnormal time is more concentrated. *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)* stipulates that the local government and medical institutions are the main units with the right to implement quarantine measures, and the police departments can assist in the compulsory quarantine of those who refuse to cooperate.

(3) lawful content

When the administrators use public power to make decisions, some legal norms and current effective legal provisions must be abided by specifically. In addition, the administrators must also abide by the general legal principles, including the principles of faith, equality, and administrative self-control. The purpose of taking the general legal principles as the standard to guide the operation of public power is to regulate administrative behavior. In the process of taking quarantine measures, abiding by general legal principles, the Chinese government respected and protected every citizen and regulated related laws. In epidemic prevention and control, the administrators implement the principle of equality to balance the interests of the individual and the society and treat the legitimate rights of local and foreign citizens equally.

(4) lawful means

Lawful means require that the ways and operations of using public power complying with the provisions of laws and regulations. Any behavior of the administrators can violate the individuals' and public interests. Therefore, corresponding to the lawful purpose, the ways and measures to use public power must also be carried out within the framework of the law. If there is no restriction on the power of public administration to pursue its purpose by any means, this will cause the abuse of public power and violate the requirements of rule of law. In the emergency process, we should pay much more attention to the importance of lawful means. In the process of taking quarantine measures, we saw that during the process of COVID-19, China's social media repeatedly stated several viewpoints, such as "controlling the degree", "isolating the virus, not isolating love" and "comprehensively considering the legal and emotional principles". These viewpoints also served as the working norms of the Chinese government when implementing quarantine measures (Han & Wang, 2020).

(5) Lawful procedure

The decision and implementation of quarantine measures should comply with the requirements of due procedure. Although the principle of the due procedure will be limited in the state of emergency, the government should follow clear legal procedures when using public power, which has been accepted by the legislative organs of most countries under the rule of law. The initiation of China's emergency mechanism is in line with the lawful procedures and the formulation of the prevention and control emergency plan has democratic participation and scientific demonstration, which have been agreed by the Chinese National Council. After the outbreak of SARS, China's legislation began to focus on public health emergencies. In this circumstance, several laws were established or revised, such as the *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)* and the *Law of the People's Republic of China on Emergency Response (2007)*. These laws give medical institutions, disease control and prevention institutions, and local governments the right to carry out necessary quarantine measures in public health emergencies. These laws also stipulate the lawful procedure in the operation of quarantine measures and designate different work to different departments as stated in section 2.1.

### 2.3 New challenges of laws and suggestions

During COVID-19, some extreme measures such as locking down roads, blocking management of all residential areas were adopted throughout the country to curb the spread of the virus. With the continuous increase of emergency measures and

liberty limiting measures of local governments, the formulated measures gradually changed from requiring residents to reduce going out to requiring residents to stay at home.

The purpose of these locked measures was to restrict the residents' going out as much as possible to limit the flow of residents. The quarantined objects of such lockdown measures had expanded from a small range of people to all residents. Measures of this kind had few legal bases which can be found in Article 49 of *Law of the People's Republic of China on Emergency Response (2007)* and Article 42 of *Law of the People's Republic of China on Prevention and Control of Infectious Diseases (2004)* on place closure.

For the sake of protecting public health when public health emergencies occur, Chinese governments are allowed to take temporary freedom-restricting measures according to the law. However, in some public health events that cannot be covered by established laws, the government's extreme measures to control the disease triggered the contradiction between the necessity of disease prevention and control and the protection of individual's legal rights. If we ignore this dilemma, it will inevitably lead to the loss of the lawful boundary of various prevention and control measures and as long as there is a public health event happens thereafter, various measures to cut off the contact will be arbitrarily used, which make it more possible of the violation of individual's legal rights.

Montesquieu (1961) said that people who have power will use it unless there are boundaries of the law. To make the administrators play their due roles in using public power, there must be a restriction of them. To prevent the abuse of public power caused by the excessive administrative power of the government in the implementation of various quarantine measures, we must follow the requirements of legal ideologies to supervise the legitimacy of relevant public power decisions and behaviors, thus promoting the coordinated development of power and rights. Furthermore, the various quarantine measures adopted by the government should be reasonable and equal. Xia (2020) said that the principle of equality requires substantive consideration. When formulating and implementing norms, we should rationally consider all kinds of social factors, emphasize the standard of equality in all situations, and prevent arbitrary administration.

To sum up, after the dust settles, the government should work on improving the relevant legislation of anti-epidemic measures and building a systematic, scientific, standardized, and effective legal system of epidemic prevention and control. To make a response to the problems exposed in quarantined objects, implementation procedure, and protection of citizens' legal rights, the Chinese government should appropriately revise the established laws, optimize the procedural rules in time, thus promoting the development of the public health legal system and ensuring that the response measures of epidemic prevention and control have a legal basis. The supervision of the implementation process of quarantine measures should also be strengthened to protect the citizen's legal rights and maintain social order.

### **3. Analysis from the perspective of morality**

#### *3.1 Confucian ethics of sacrifice*

Chen (2008) thought there is a "sacrificial construction" within the boundary of all living things. The creatures and the environment are related to each other. However, some living individuals must sacrifice other living individuals to some extent to maintain their existence. This is the interpretation of the story of "the ox and the sheep" in Mencius, and the story is as follow:

The king was sitting in the hall. A man passed by with cattle. When the king saw him, he asked, "Where are you going to take the cattle?" The man answered, "Use it to worship the bell." The king said, "Set it free! I can't bear to see it tremble with fear and be killed without any guilt." The man asked, "Then should we cancel worshiping the bell?" The king said, "How should we? Replace it with sheep!"

Mencius said, "One is capable to unify the world with such a heart! (Worshiping the bell with sheep instead of cattle) People may think that the king is mean. I knew that the king took pity on the cattle." King Xuan said, "Yes, there are people who talk like this. Although the state of Qi is small, how can I spare cattle? It's because I can't bear to see it tremble and be killed, so I replace it with sheep."

King Xuan defended himself that there was no real difference between using cattle and sheep to worship the bell. The reason why he decided to use sheep to worship the bell was that he saw the cattle trembling before the bell, and he took pity on it. Ignoring the authenticity of Xuan's explanation, the problem is that if he saw the sheep shivering at that time, he might also ask for "changing cattle for sheep". In other words, there was no entanglement in how to choose between sheep and cattle as they have different values.

The story shows that in any case when a choice has to be made, no perfect option will be achieved, as we have to sacrifice the other objects when one is chosen. Chen (2008) said that every choice involves the loss of value or some kind of sacrifice. This loss can be tolerated, not because someone has an absolute and innate judgment on the value of a thing, but

because the painful judgment caused by this emergency is unavoidable. From the perspective of benevolence, every creature should be respected and cared for, but when it is necessary to choose between the two, this choice has to be made with deep regret.

To sum up, it is obvious that “sacrificial structure” has a rich connotation. It has an in-depth discussion of the problem. It states that if the king does not see cattle (or sheep) to worship the bell, then there is no essential difference between cattle and sheep, but one choice has to be made under the circumstance of some sacrifice. It also reveals that although people are compassionate, they are aware of it only when they see the misfortune of other things or people.

Under the premise of “all things in one” of Confucianism, when the big thing is being threatened and impeded from development, some parts of it have to be sacrificed.

### *3.2 Confucian thought of the rule of morality*

Traditionally, China has always been a society with agricultural civilization. The economic foundation and the division of labor structure jointly determined the specific historical logic of China: the natural economy and the acquaintance society constituted an ethical society with the close relationship of family and country, which is the same set of principles that implemented in governing the family, country and even the world. Chen (2019) stated that when dealing with family or national problems, people are accustomed to taking morality as the first choice rather than law. Only when moral education is not enough to deter the ruled class, can the ruling class use strict laws. Confucius believed that the governance of a country depends not only on severe legal sanctions but more importantly on tolerant moral education. Confucius said that to govern the people with decrees and to rectify them with criminal law, the common people only want to dispense the crime and punishment, but they have no sense of shame; to guide the people with morality and assimilate them with etiquette, the people will not only have a sense of shame but also have a sense of submission (The Analects of Confucius for politics).

Confucian ethics itself constructs social order by the social relationship based on kinship and interpersonal relationship. Historically, benevolent governance and the rule of morality are the core ideologies of ancient Chinese social governance. The two ideologies can be traced back to the governance values of the Zhou Dynasty. “Cultivating morality throughout one’s life” was mainly reflected in the administrator’s understanding of the importance of morality and the initiative of moral behavior; “respecting morality and protecting the people” means that the governors must implement the moral policy that protects and benefits the people, and the governors should be cautious in punishment, so as not to disturb, hurt or harm the people. The “morality cultivation” and “morality respect” advocated by the people of the Zhou Dynasty are not only the requirements of the governors but also the requirements of institutional arrangements, which had a far-reaching impact on the later Confucianism.

According to Confucius, benevolent governance means to govern with morality, that is, the institutional arrangement and implementation of the state and society must conform to the people’s will, and convince people with mortality (Ning & Wang, 2019). Confucian benevolence refers to not only regulating oneself but also loving others. From a negative point of view, benevolence is “don’t do to others what you don’t want to do to yourself” (the Analects of Confucius · Yanyuan). Mencius, the representative of Confucianism, further systematized the Confucian theory of governance value. He opposed hegemonism and believed that convincing people with virtue is the necessary choice of benevolent governance. At the same time, he further expounded that the core of the thought of benevolent governance is the people-oriented thought, emphasizing that “the people are the most important, the country is the second, and the monarch is the least”. He advocated that “the ancient wise king liked benevolence but ignored power” and “those who are benevolent should be in a high position; those in a high position who is not benevolent would expose their evilness to the public”. Meanwhile, it also required the administrators to “respect the wise people and use their abilities, and if a wise man is in power, all the people in the world will be happy”.

From the above Chinese traditional Confucian classics, we can see that Confucius and Mencius’ thought of the rule of morality advocated improving individual’s moral level by improving that of the governing class, implementing people-oriented benevolent governance, and then achieving the goal of the rule of morality. These thoughts focus on improving the moral level of the governing class and establish the value orientation of Confucian governance, which is people-oriented, serving people with morality and combining morality and punishment.

For a long period, the thought of the rule of morality was the dominant ideology of China’s national governance whose core is people-oriented. The thought of the rule of morality not only advocated the moral restraint of individuals but also advocated that the ruling class should be moral in governing.

Under the circumstance of public health emergencies such as COVID-19, which can threaten people’s life safety, some necessary measures are urgently needed to protect people under the people-oriented requirements of the rule of morality.

### *3.3 Moral analysis*

Human rights are inviolable. However, every viewpoint exists with its presupposition and its supporting ideas. Cao (2020) stated that human beings are living in a society with others and no one can live alone. Therefore, it makes no sense to talk about human rights without considering others in society. Furthermore, when we consider human rights, we cannot ignore the necessity of the continuation of life because if one's living and healthy rights are not guaranteed, other rights are meaningless. Chen (2008) said that throughout one's life since he was born as a baby, he survives and grows up because of the care of his parents and even more other people. What supports the continuation of our life are not natural will, but the benevolence and moral responsibility of others, especially parents. Safety, one of the human rights, is different from other general rights. It is not given by a specific social system but is natural. A society that denies the guarantee of life safety is a society without morality. Only on this premise can other rights exist. A government that follows the rule of morality will take all necessary measures to protect people's life safety.

The continuation of human life is not an individual issue, it is about the continuation of society. Therefore, human rights should be considered at the scope of the whole society. Meanwhile, the individual's appeal, whether it is from the insiders or outsiders, cannot be used as a criterion to judge the legitimacy and righteousness of a collective measure or behavior. Everyone lives together and relates to each other closely. It is improper to blindly emphasize individual rights when the responsibility to others in common life is neglected.

During the epidemic, quarantine measures are made in the consideration of collective life safety. In a certain sense, as far as the measures of quarantine are concerned, on the one hand, it is self-evident that quarantine is effective in reducing infection and its starting point and motivation are to protect the personal safety of all quarantined people with some sacrifice on their freedom for going out. It is a protection of the most basic human right: life safety; on the other hand, no matter who, if his claim of going out during the city closure is satisfied, the possibility of the spread of the virus will increase and will bring out an evil impact on the society and other people. That is the situation in which human rights are truly violated. In any case, as long as an individual lives in society, he has a social responsibility, which requires him to behave in adherence to social rules of modality. In other words, the freedom of any individual is not abstract freedom beyond social responsibility.

From the analysis of the above two aspects, the debate about the ranges of quarantined people and whether the individuals would be satisfied or not is more like the struggle between the two opposing parties of interests, rather than the discussion about the way to solve the problem between individuals in the community of interests. This kind of struggle ignores the fact that people coexist with each other and it causes the division of the group while making a little contribution in solving the problem. In the opinion of traditional Confucianism, the root of this split lies in the absence of benevolence and morality. The kindness to other people and creatures that embodied in King Xuan's statement "not bearing seeing the death of cattle" should be regarded as a basic principle to solve the problem in the community of people.

To sum up, from the perspective of the ethical principles contained in the Confucian "sacrificial structure", the significance of China's quarantine measures during the COVID-19 mainly has two aspects. First, the choice of lockdown is not the result of different parties' struggle but is the choice under the consideration of social morality, which contains the protection of people's lives and health and shows the government's respect and kindness to people. Second, the birth and continuation of individual life are based on the premise of group co-existence, so it is inappropriate to talk about individual rights or responsibilities abstractly with the ignorance of group living.

#### **4. The co-effect of law and morality during COVID-19**

Chinese traditional Confucian thought of the rule of morality provides value-oriented support for Chinese contemporary social governance from two dimensions.

First, it provides the basis of value judgment for the existing legal rules. The goal of rule of law of China is to realize "good law and benevolent governance". Aristotle (1996) linked the concept of good law with moral value. He believed that one of the standards of good law is to reflect the moral value that people cherish. The individual is the principal part of social life, and the value orientation of institutional ethics should reflect the moral value of the people in the society it serves. Then, the formulation of law in the rule of law needs to be based on the social characteristics and contemporary development trends.

Second, it provides guidance of value for the combination of the rule of morality and rule of law in social governance. The modern rule of morality emphasizes the moral cultivation, moral sentiment and moral education of politicians should be under the regulations of law framework that the law restricts the public power and everyone is equal in the law. The value orientation of the Confucian thought of the rule of morality is people-oriented and emphasizing persuading people by morality and it is of positive significance to establish human dignity and maintain interpersonal relations and provides the basis for the combination of rule of morality and rule of law in social governance.

Max Weber (2004) thought that the social life organized by small communities in ancient China is contrary to the modernity of the West. Contemporary China's social governance draws lessons from western economics and western rule of law

thought, takes the assumption of “economic man” as the premise of governance and regulation, and makes a series of institutional arrangements with the help of public power, like the formulation of laws, through the promulgation of taboos and its punishment measures. However, although this kind of institutional arrangement can meet the minimum regulation of social behavior, it cannot achieve a society of high moral standards. Economists argue that the performer of benevolent governance is not necessarily the government and what decides the rational allocation of social resources between people is not necessarily the compulsive force of a state but can be a moral habit or force.

The moral force of Chinese society was fully manifested in the face of COVID-19. The Chinese government provided free medical treatment for patients with new crown pneumonia. After Wuhan was locked down, to give treatment to all COVID-19 patients, the Chinese government invested huge amounts of money and built the Huoshenshan hospital and Leishenshan Hospital in about ten days. 86 new designated hospitals were reconstructed or built, and 3000 beds per day on average were added in 16 square hospitals, and more than 60 thousand beds were added to meet the needs of the increasing patients. If the scale of 1000 beds is used to calculate a hospital, it means that 60 new hospitals with 1000 beds in each hospital were built in Wuhan within one month. In response to the rapid increase in the supply of hospital beds, more than 40000 medical staff across the country volunteered to rush to Wuhan to participate in the treatment of COVID-19 patients. 19 provinces supported the COVID-19 patients in 16 cities outside Wuhan in Hubei province. While rescuing Hubei, other areas of China rapidly initiate the first-level response to an emergency public health emergency, forming a system for rapid diagnosis and treatment of new corona pneumonia and a system of prevention and control of COVID-19 with universal participation. Across the country, countless volunteers worked hard to help those who were quarantined at home. They guarded in the community, sent grain, vegetables, meat, and other life necessities to the quarantined people, and solved various problems of the quarantined people.

As discussed above, there are connections and contradictions between the principles of the rule of morality and the principles of rule of law. Even in normal times, we need to be cautious to apply and differentiate them in specific events. In the special case of a major epidemic outbreak, the demand for such a demarcation is even more urgent. Both rules of morality and rule of law have their value evaluation systems and to achieve the balance of the two during the epidemic, we need a meta value that can integrate the two.

From the above analysis, we can find that only the people can be served as the meta value. Only the people have the power to achieve the integration of the state and the society in the broadest sense. Only with the people as the principal part of the society, will it be possible to solve the contradiction between the rule of morality and rule of law. People are the most fundamental value starting point of every act and policy of the government.

## 5. Conclusion

Based on an analysis of China’s quarantine measures against COVID-19 from the perspectives of law and morality, this study examines the legitimacy of these measures by employing Confucian sacrificial structure, Confucian thought of the rule of morality, and the theory of Five Regulations of Using Public Power and looking for the legal basis of these measures in China’s established laws.

By analyzing the moral connotation of the story of cattle and sheep in Mencius, the author makes discussion on the Confucian sacrificial structure and adopts it as a tool to analyze the moral manifestations embodying in China’s controversial quarantine measures against COVID-19. With Confucian thought of the rule of morality, this paper demonstrates the people-oriented idea contained in China’s quarantine measures. In the next section, several of China’s established laws about prevention and control of infectious diseases are listed and the history of China’s legislation about prevention and control of infectious diseases is also mentioned to prove the legitimacy of the quarantine measures.

By examining the legitimacy of China’s quarantine measures during COVID-19, this study is expected to shed light on the improvement of the moral and legal consciousness of the citizens of our country. It also offers insights into the improvement of the Chinese government’s implementation of quarantine measures like optimizations of related laws, detailed regulations on quarantine procedures, and equality for every citizen. Future studies can extend the scope of study to other campaigns (i.e., China’s financial policies and patients’ medical fees) to examine the legitimacy of other China’s anti-epidemic measures.

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# On the Translation Strategies of Culture-loaded Words Based on Thick Translation: A Case Analysis of The Grand Scribes Records (Selected Chapters)

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**Abstract:** Culture-loaded words (hereinafter referred to briefly as CLWs), as their names imply, are expressions that mostly present the uniqueness of culture. The translation of CLWs has always been one of the core issues in translation, and the dilemma of translation adequacy and readers' acceptability has also bothered translators for centuries. Thick Translation Theory, stressing that translation is not so much a literal work than a process of cultural transmission, attaches great importance to cultural differences. Under such theory, this study takes CLWs in Nienhauser's translation of *Shih Chi: Po-Chi* as a study object, attempting to find out how thick translation can be realized concerning translating CLWs. Generally speaking, literal translation, sense-for-sense translation, a combination of different strategies, translation with the footnote, and transliteration are widely adopted in Nienhauser's translation. When it comes to specific kinds of CLWs, even a certain kind of translation strategy is likely to be realized by many different methods. This variation can be explained by three elements: the translator's subjectivity, the degree of cultural difference, and the degree of contextual default. The translator's subjectivity is the dominant factor for it determines translation purpose, while the other two factors affect the "thickness" of an individual word's translation.

**Key words:** thick translation, culture-loaded words, *Shi Ji*, translation strategies

## 1. Introduction

Culture-loaded words are words, phrases, and idioms that signify things specific to a culture, reflecting the unique ways of doing things that a certain group of people has gradually accumulated over the course of history and that set them apart from other people (Liao, 2000). *Shih Chi*, as one of the most monumental historic records, reveals almost every facet of ancient society, and thus contains nearly every kinds of words manifesting Chinese history and culture, i.e. culture-loaded words. Amidst all the translation of *Shih Chi*, *The Grand Scribes Records* places most attention on the academic value and the transmission of source-language cultural information (Li, 2015). Being loyal to the original text earns Nienhauser's translation a great deal of credits, and thus widely recognized as an ideal object for studying Chinese history. Therefore, this study will take Nienhauser's translation as an example to examine how thick translation can be realized.

According to Thick Translation, the interpretation of culture rather than the transformation of literal meaning becomes the foremost question in the translation, which makes Thick Translation a valuable perspective to study translation. Even though many scholars have taken initiative and adopted this theory to study the translation of Chinese classics in recent years, few researchers have studied the translation of *Shih Chi* from this account. In addition, despite much theoretical work on Thick Translation, there is no determined guidance when it comes to the practice of translation, notably the translation of historical records like *Shih Chi*. Therefore, this study will take culture-loaded words—hereinafter referred to briefly as CLWs—in Nienhauser's *The Grand Scribes Records: Basic Annals of Pre-Han China* as an example to examine how Nienhauser and his team realize thick translation. Owing to the limitation of time and space, not terms in all chapters in Nienhauser's translation are examined, instead of which CLWs in *The Five Emperors*, *Basic Annals One*, *The Chou*, *Basic Annals Four*, *The Ch'in*, *Basic Annals Five*, and *Hsiang Yü*, *Basic Annals Seven* these four symbolic chapters are selected as the research sample.

## 2. Previous Studies on Thick Translation

In 1993, Kwame Anthony Appiah borrowed the term “thick description” from an Anthropologist called Geertz and proposed a mode of “academic translation”, a translation that contains numerous notes, commentaries, or prefaces where a rich “cultural and linguistic” context is embedded (Appiah, 1993: 817). Inspired by Appiah, Theo Hermans (2003) made further discussions on this matter in his work: Thick Translation is a “line worth pursuing” when it comes to the translation across culture and language. Despite all the theoretical strides of Thick Translation, neither Appiah nor Hermans gave any specific guidance on how thick translation should be realized or to what degree a translation can be dismissed as thick translation. Martha P.Y. Cheung illustrated that thick translation should “identify itself as a problematics of cultural representation” (Cheung, 2007: 32).

Researches on Thick Translation have shown a rapid upward trend in China over the years. When Thick Translation was newly introduced into China, scholars mainly focused on the evaluation of this translation theory and many of them also appreciated its significance (Duan, 2006; Sun, 2010; Xia, 2008; Song, 2014). Amongst all these researches, Wang (2020) had systematically summarized three values brought by the thick translation—highlight on translators’ subjectivity, providing cultural representation and readers options, giving many credits to this translation theory. However, they didn’t explain how translators—as they said—“accept or refuse the cultural information” and when in translation practice. Thus, this study will go into detail to see what exactly influences the translators’ decision in translation based on a highly praised translation version of *Shih Chi*. This question somehow resonances with another unsettled problem: when numerous extratextual notes should be added into translation as Appiah suggests? Many scholars have discussed the influence of translators’ subjectivity and how the translators “filter” cultural information, via doing comparative studies between different translations or in-depth observation on single translation (Zhong, 2017; Zhao, 2010). Zhou and Qiang (2016), for example, successfully divided the “thickness” of translation into six levels and discussed the relationship between the subjectivity of translators and Thick Translation in detail. Despite all of their contributions, influencing factors other than translators’ subjectivity appear to be less discussed, so this study will continue to explore this question based on *The Grand Scribes Records*.

Chinese scholars also put forward different views on the practice of Thick Translation. Based on the theory of annotation and subtext, Wang and Yang (2012), taking the *Anthology of English Translation of Chinese Translated Discourse* as an example, classified explanatory notes on the basis of their functions into six major types. Their findings provide a valuable window on how translators make translation thick in the explanatory notes, so this study also borrows this classification when analyzing the notes in Nienhauser’s translation. In addition, in a comparative study of three Chinese versions of *On Rumours*, Cao exposed the drawbacks brought by numerous annotations included in the translation and appealed for adopting implicit Thick Translation strategy, which refers to adding explanatory words in the translation text without changing its original meaning (Cao, 2013: 3). Following his work, Wan and Hu (2020) proposed that translation strategy can be divided into Explicit translation and Implicit translation these two types of translation.

For all the progress made in the previous studies, the translation strategies identified appears to be not enough to cover all kinds of CLWs in historical records like *Shih Chi*, while the application scope of some similar translation strategies also show a clear distinction. Take the intext-bracketing mentioned in Wan and Hu’s article as an example, Pietro adopted this kind of translation method when approaching the names of the famous historical figure, while Nienhauer used a similar method to deal with the words without equivalent expression in English. *Shih Chi*, other than classic novels such as *A Dream of Red Mansions* or *A Floating Life*, covers more ancient political events, warfare in particular, and thus could be harder for scholars to understand. Therefore, focusing on CLWs, this study attempts to find out the translation strategies used in Nienhauser’s English translation, hopefully making some contributions to the application of Thick Translation.

### 3. Translation Strategies of CLWs based on Thick Translation

To analyze translation strategies more carefully, this paper adopts Chen Xiaodan’s classification of CLWs and is ambitious to find out the translation strategies applied in the translation of each kind. Chen (2010) furthered Deng Yanchang’s (1989) classification, sorting them into two categories: absolute sense-vacant CLWs and semi sense-vacant CLWs. Semi-sense-vacant CLWs refer to the expressions that have partially equivalent concepts in the culture of another language. It is the nonequivalent part that causes the vacuum of sense. In general, these kinds of words can be further divided into three categories: CLWs with multiple meanings, CLWs with cultural connotations, and pragmatic-sense nonequivalent CLWs. Within CLWs with multiple meanings, the content specified may have only one expression in the source language, while several expressions are representing a similar content in the target language. For example, the word “cousin” is used to describe all children of aunts or uncles, while Chinese usually use “表弟 *biǎo dì*” “堂妹 *táng mèi*” to distinguish the sex and blood relationship. In addition, CLWs with cultural connotation refers to terms which contain different implicit meanings in the sphere of different cultural background. For instance, the term “龙 *lóng*” symbolizes majesty and omens in Chinese culture, while it could be regarded as the representation of evilness in English culture. Furthermore, some expressions have their pragmatic meaning in one certain language, but few corresponding expression in another language function the same way. For instance, while terms like

“贵 guì” “您 nín” can be used to call the opposite side in conversation politely, only the term “you” shares the same meaning. Such kind of CLWs is defined as pragmatic-sense nonequivalent CLWs.

In *The Grand Scribes Records*, there have generally identified five kinds of translation strategies: transliteration, literal translation, sense-for-sense translation, translation with footnote and a combination of different strategies. When it comes to a certain kind of translation strategy, it may involve more precise translation methods in practice. What’s more, some of those translation methods have been applied to all kinds of CLWs, while the others tend to have certain application scope.

### 3.1 Transliteration

Transliteration generally refers to transmission from the source language to the target language with a similar pronunciation. According to Nienhauser (1994), a simplified version of Wade-Giles’ Romanization is adopted in *The Grand Scribes Records*. This translation strategy is found to be used to approach absolute sense-vacant CLWs only. However, the cultural information can hardly be transferred to the target language context using this kind of translation strategy. For this reason, transliteration is normally supplemented with other extratextual notes such as footnotes or supplementary materials. By providing cultural information in the paratext, the readers are able to have a systematic understanding of the CLWs. However, on the negative side, this translation strategy brings more obstacles in reading.

#### Example 1

SL (Source Language): 项籍者，下相人也，字羽。《《史记笺证：贰，本纪·项羽本纪》，第 559 页）

SL in pinyin: xiàng jí zhě, xià xiàng rén yě, zì yǔ.

TL (Target Language): Hsiang Chi 项籍 was a native of Hsia-hsiang 下相<sup>3</sup> (by Nienhauser, *Hsiang Yii, Basic Annals seven: 179*).

Footnote:<sup>3</sup> Located just west of modern Su-ch’ien 宿遷 in Kiangsu (T’an Ch’i-hsiang, 2:8). It was also only a few miles east of the confluence of the Ssui (四) and Sui (唯) rivers. As will be seen below, much of the early activity in this chapter takes place along the Ssu River north and west of Hsiang Yu’s hometown. For one account of the origin of the name Hsia Hsiang see “So-yin”, but this place is over 50 miles north west of these events and is therefore probably in error (by Nienhauser, *Hsiang Yii: Basic Annals seven: 179*).

As Example 1 indicates, the translator transliterates the terms “下相 xià xiàng” based on the Wade-Giles romanization with its original Chinese characters attached. May the quotations of original text slow down the reading speed of target readers in comparison to traditional translation, yet it is a direct reflection of Chinese culture, bringing the readers a visual impression (Li, 2015). Here, the translators exquisitely interpret the meaning of the term “下相 xià xiàng”: first of all, the translator indicates the modern location of Hsia-hsiang; then by relating this place to other frequently mentioned places, the translator actually explains a warfare situation happened in the historical event to the readers so that they are able to create a more comprehensive picture in their minds when learning those events in the translated text. At last, the translator also introduces a different account of interpretation as reference and make critical comments on this interpretation.

### 3.2 Literal Translation

Literal translation can not only reflect the aesthetic value of the author to a large extent but can also convey the information that sense-for-sense translation may not be possible to achieve (Chen, 1998). Here, literal translation, including several translation methods, should be understood as a translation strategy from a broad sense. Generally, literal translation as a strategy of translation refers to translation containing some “tracks” of the original text, which places great attention to the equivalence in form between the source language and target language (Huang, 2009).

#### 3.2.1 Literal Translation: Literal Correspondence

Literal translation is an effective way to represent the source-language culture as much as possible, so this translation method has been widely adopted to approach all kinds of CLWs. When using this translation method, the translator translates the original text based on its literal meaning. Chinese word, as one kind of ideograph, carries meaning in every single character, for which the advantages of literal correspondence could be maximized. Still, literal correspondence without footnotes there might be some missing cultural default becoming invisible to the readers, while the readers find these terms easy to the reader and easy to understand. Here, a case will be analyzed to explain how this translation strategy works practically.

#### Example 2

SL: 项王按剑而跽曰：“客何为者？” 《《史记笺证：贰，本纪·项羽本纪》，第 587 页）

SL in pinyin: xiàng wáng àn jiàn ér jì yuē: “kè hé wéi zhě?”

TL: King Hsiang rested his hand on his sword, raised himself to his knees, and said: “Who is this guest (by Nienhauser, *Hsiang Yii, Basic Annals seven: 192*)?”

In Example 2, one’s understanding of the culture-loaded term “跽 jì” is built based on the knowledge that ancient Chinese sat

on their calves in the daily life. When they removed their hips from their calves and kept their upper bodies straight, this act was called “踞 jì”. In this context, this act suggested that King Hsiang was alerted when he saw Fan Kuai was trying to break in (Han, 2004). However, the emphasis of this sentence should fall on the act “按剑 àn jiàn”, i.e. “rested his hand on his sword” in English translation, which shows that King Hsiang was ready to defend himself anytime. The act “踞 jì” just makes his act more complete to the readers and highlights this attitude. As a result, the translator’s simply translating it to “raised himself to his knees” doesn’t cause much trouble for the readers to understand this situation. Likewise, words such as “社稷 shè jì” “司马门 sī mǎ mén” “白璧 bái bì” “玉斗 yù dòu” “黄屋车 huáng wū chē” “衰絰 shuāi dié” “素服 sù fú” adopted the same translation strategy. Despite all the advantages of this, it also makes the readers less possible to understand CLWs thoroughly as they do with the help of annotation.

Furthermore, literal correspondence is also used to translate CLWs with cultural connotations. However, in those situations, literal correspondence plays the role of presenting a word’s basic sense while neglecting its hidden cultural information. Given this fact, literal correspondence is also called Omission, when it comes to words with cultural connotation.

### 3.2.2 Literal Translation: Chinese Word-building Imitation

According to the theory of Realia<sup>1</sup>, there are generally five kinds of translation strategies: calque, approximate translation, transcription, descriptive translation, contextual translation (Mark & Moira, 2004). Among these translation strategies, “calque” means translating the CLWs based on the source language’s grammatical rule. Chinese word-building Imitation follows a similar logic to the calque strategy—the translators recreate a similar expression in the target language based on the word structure of the source language. This translation strategy is found to be used to approach CLWs with cultural connotation only, notably official titles.

#### Example 3

SL: 闻陈王败走，秦兵又且至，乃渡江矫陈王命，拜梁为楚王上柱国。（《史记笺证：贰，本纪·项羽本纪》，第562页）

SL in pinyin: wén chén wáng bài zǒu, qín bīng yòu qiě zhì, nǎi dù jiāng jiǎo chén wáng mìng, bài liáng wéi chǔ wáng shàng zhù guó.

TL: When he heard that the King of Ch'en had been routed<sup>28</sup> and that Ch'in's troops were about to arrive, he crossed the Chiang, forged an order from the King of Ch'en appointing Hsiang Liang as the King of Ch'u's Supreme Pillar of State,<sup>29</sup> and said: "The land east of the Chiang has already been pacified (by Nienhauser, *Hsiang Yi, Basic Annals seven*: 181).

Footnote: <sup>29</sup> Shang Chu-kuo 上柱國; "Chi-chieh" notes this was equivalent to the post of Minister of State (by Nienhauser, *Hsiang Yi, Basic Annals seven*: 181).

In Example 3, “上柱国 shàng zhù guó” is an official title in Ch’u during the Warring States period, the status of which is approximate to a prime minister in ancient China; but after the Warring States period, this position is normally designed as an honorific title instead of a formal job title with power (Han, 2004). In Nienhauser’s translation, the expression “Supreme Pillar of State” is adopted, which is reproduced in correspondence with the word structure of “上柱国 shàng zhù guó”: “Supreme” means “most important, or most powerful” according to the Macmillan English Dictionary, similar to the meaning of “上”; parallel to the term “上柱国 shàng zhù guó”, “Pillar of State” means someone powerful and respected within the country. Besides, in the footnote, the translators explain the duties or status of this position with the reference source attached. Unlike literal correspondence, this translation presents the basic sense of this word in a more implicit way like what this position is supposed to do. However, this translation method can remind the readers of the fact that this position is designed in another culture, avoiding them falling into the fallacy of “easy tolerance” brought by masking the cultural differences (Appiah, 1993: 818).

### 3.2.3 Literal Translation with Intertextual Notes or Addition

This kind of translation can not only preserve cultural information but can also complement the cultural vacuum of sense without sacrificing the textual fluency (Wang, 1997). However, owing to the limitation of textual space, the complemented information that can be added into the translation text is also rather limited. This translation strategy is found to be used to approach absolute sense-vacant CLWs and interchangeable words of Pragmatic-sense nonequivalent CLWs.

#### Example 4

SL: 遂见东方君长，合时月正日，同律度量衡，脩五礼五玉三帛二生一死为摯，如五器，卒乃复。（《史记笺证：壹，本纪·五帝本纪》，第16页）

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<sup>1</sup> Realia (latin, the real things ). In translation, Realia (plural noun) are words and expressions for culture-specific material elements.

SL in pinyin: suí jiàn dōng fāng jūn zhǎng, hé shí yuè zhèng rì, tóng lǜ dù liàng héng, yǒu wǔ lǐ wǔ yù sān bó èr shēng yī sǐ wéi zhì, rú wǔ qì, zú nǎi fù.

TL: He used five pieces of jade, three kinds of silk, and two live animals and one dead animal as presents. [This was done] in correspondence with [the rank symbolized by] the five kinds of tokens (by Nienhauser, *The Five Emperors, Basic Annals one: 9*).

In Example 4, the term “五玉三帛二生一死 wǔ yù sān bó èr shēng yī sǐ” refers to several etiquette requirements that differ from level to level of the federal lords, according to Han (2004). In Chou, an era that relied on the system of rites and music to maintain the hierarchy, different ranks of federal lords were required to follow different standards of etiquette on various occasions. In Nienhauser’s translation, literal translation can be recognized in the first sentence, but in the second sentence, intertextual note “the rank symbolized by” is added to the text, interacting with the word “the five kinds of tokens”. Since the etiquette requirements mentioned earlier are subject to the same rank requirement of “the five kinds of tokens” as the text indicates, this addition to the text completes the meaning of “五玉三帛二生一死 wǔ yù sān bó èr shēng yī sǐ” in translation. With intertextual notes, the readers have access to the literal meaning of this term and learn more about the core issue it embraces—the political and cultural systems in Chou as well as the social norms that shaped people’s minds and behaviors at that time.

### 3.3 Sense-for-sense Translation

Sense-for-sense translation pays more attention to recreating the images of CLWs in target-language culture, which can help the readers establish the fluency and incoherence of translation texts in a short time. Similar to literal translation mentioned above, sense-for-sense translation should also be understood as a strategy of translation, which focuses on transferring the meaning of the original text and places less attention on the equivalence in form (Huang, 2009). However, in some cases, the aesthetic value of expressing implicitly in the original text can be destroyed by this transparent translation. And most importantly, this translation strategy is possible to render an “easy tolerance” of the foreign culture and weakens its impact in turn (Appiah, 1993: 818).

#### 3.3.1 Sense-for-sense Translation: Alternative Term

When alternative terms of CLWs can be found in the target language culture, it is possible to achieve sense-for-sense translation by adopting these terms. Due to the advantages, this translation strategy is widely applied in translating all kinds of CLWs. Even though the content referred to by absolute sense-vacant CLWs is totally missing in the target-language culture, expressions similar to their literal meaning may still be found. However different these terms are, the practice of translation basically follows the same rule—define the words, then find an alternative term in the target language.

##### Example 5

SL: 吾令人望其气, 皆为龙虎, 成五采, 此天子气也。(《史记笺证: 贰, 本纪·项羽本纪》, 第 585 页)

SL in pinyin: wú lìng rén wàng qí qì, jiē wéi lóng hǔ, chéng wǔ cǎi, cǐ tiān zǐ qì yě.

TL: I have had a man observe his aeromantic signs, and they are always in the form of dragons or tigers appearing in all five colors (by Nienhauser, *Hsiang Yi, Basic Annals seven: 190*).

In Example 5, the culturally unique term “气 qì”, literally referring to energy or gas, origins from religion or superstition in the Warring States period, Ch’in and Han dynasties. At that time, people believed that the shape and sign of cloud revealed the fate of the individual, and the omen given by those shapes of cloud was dismissed as “气 qì” (Han, 2004). In Nienhauser’s translation, “气 qì” is translated as “aeronautic signs”. Truly that there is no concept resembling the term “气 qì” in English, but the translator adopts its basic sense and uses the alternative term “sign” to describe it. In correspondence to the position of “气 qì”, the term “aeronautic” is added to the front of “sign”, preserving the cultural information in the source-language text. Though this kind of translation makes CLWs easier to understand for the readers, other hidden cultural information might inevitably become invisible during the reconstruction of the images from the source language to the target language. Let’s return to Example 5, without the cultural background that observing the form of cloud and inferring the prophesy it implies is a religious practice in ancient China, some Western readers might be confused why the aeronautic space of one person has a sign.

#### 3.3.2 Sense-for-sense Translation: Generalization

Sense-for-sense translation can also be realized by generalizing the basic sense of CLWs, when the cultural background of these terms is not required by the context. The advantages of this translation strategy are obvious—it makes these terms easier for the readers to understand. However, this translation strategy may render the readers less possible to learn about the thick cultural background of the terms. This translation method is found to be used to approach absolute sense-vacant CLWs.

##### Example 6

SL: 项羽乃悉引兵渡河, 皆沉船, 破釜, 烧庐舍, 持三日粮, 以示士卒必死, 无一还心。(《史记笺证: 贰,

本纪·项羽本纪》，第 566 页)

SL in pinyin: xiàng yǔ nǚ xī yǐ n bīng dù hé, jiē chén chuán, pò fǔ zèng, shāo lú shè, chí sān rì liáng, yī shì shì zú bì sǐ, wú yì hái xīn.

TL: Hsiang Yii led all his troops across the river; he then sank all his boats, smashed his cooking utensils, burned his cantonment, and took with him only three-days' rations, showing that his officers and soldiers would fight to death, that not even one man hoped to return (by Nienhauser, *Hsiang Yii, Basic Annals seven*: 187).

In Example 6, the word “釜甑 fǔ zèng” refers to two unique cooking utensils in ancient China, similar to pot and jug in the modern world. In the context, mentioning the term “釜甑 fǔ zèng” is just to show Hsiang Yii’s determination to beat his enemies, so here “釜甑 fǔ zèng” more tends to be an expression and symbolizes all the cooking tools that Hsiang Yii’s army have access to. In short, it is what “釜甑 fǔ zèng” stands for instead of its literal meaning matters so the translators translate “釜甑 fǔ zèng” to “cooking utensils” rather than the literal translation like “ancient pot and jug”.

### 3.3.3 Sense-for-sense Translation: Contextualization

Contextualization is generally applied to those CLWs which may have different meanings in different situations. The meaning of words could change along with the development of history, notably the conversion of connotations, the expansion and reduction of extensive sense etc. (Gao, 2000). In these cases, the translation mainly varies from context to context and thus has no fixed pattern. For instance, in Example 14 and 15, “...公 gōng” contains different meanings in different conditions, it can be an official title or an honorific title. This translation method is found to be used to approach CLWs with multiple meanings.

#### Example 7

SL: 沛公 (《史记笺证: 贰, 本纪·项羽本纪》, 第 585 页)

SL in pinyin: pèi gōng

TL: Magistrate of P’ei (by Nienhauser, *Hsiang Yii, Basic Annals seven*: 185)

#### Example 8

SL: 繆公 (《史记笺证: 壹, 本纪·秦本纪》, 第 317 页)

SL in pinyin: miù gōng

TL: Duke Mu (by Nienhauser, *The Ch’in, Basic Annals six*: 92)

As the examples listed above indicates, different translations are adopted in correspondence with different contexts. In Chinese context, one character is possible to function differently, so variances can be seen in Nienhauser’s translation in order to satisfy the requirement of each context. Let’s explain this in the case study. In Example 7, unlike another term, the term “沛公 pèi gōng” seems more to be a pragmatic custom rather than a formal title. It is a custom in ancient China that you call someone with their position. People used “沛公 pèi gōng” to call Liu Bang because he had been the magistrate of P’ei county. In this way, “沛公 pèi gōng” is translated as “Magistrate of P’ei” instead of “lord of P’ei”. In Example 8, “公” is an honorary title, one of the five ranks of noble class which is illustrated in the footnote in Chapter 1. Thus, “繆公 miù gōng” is translated into “Duke Mu”.

### 3.3.4 Sense-for-sense Translation: Connotative Overtness

Sense-for-sense translation can be realized by translating the implicit meanings of the CLWs. This kind of translation strategy can not only contribute to uncovering cultural information in a more direct way, but also make the translation easier to understand for the readers without adding numerous annotations. For this reason, Cao (2014) defines it as an implicit thick translation. This translation method is found to be used to approach CLWs with cultural connotations.

#### Example 9

SL: 每吴中有大徭役及丧, 项梁常为主办, 阴以兵法部勒宾客及子弟, 以是知其能。(《史记笺证: 贰, 本纪·项羽本纪》, 第 559 页)

SL in pinyin: měi wú zhōng yǒu dà yáo yì jí sǎng, xiàng liáng cháng wéi zhǔ bàn, yīn yǐ bīng fǎ bù lè bīn kè jí zǐ dì, yǐ shì zhī qí néng.

TL: Secretly he organized and trained his guests, retainers and other young men in the arts of war, and in this way he came to know their abilities (by Nienhauser, *Hsiang Yii, Basic Annals seven*: 179).

In this case, the term “宾客 bīn kè” should not be simply understood as guests in English; actually, this term refers to those poor or powerless talents who are voluntarily fed by a rich and powerful family and serve them as consultants or guards in exchange (Li, 2001). And that’s why Hsiang Liang trained the young men to test their abilities. In Nienhauser’ translation, the expression “guests, retainers” are used. According to the Macmillan English Dictionary, the word “retainer” means “a servant,

especially one who has worked for someone from a high social class for a long time”, which is very close to the original meaning of “宾客 bīn kè” in the context. Instead of simply translating the literal meaning, the translators follow the implicit meaning of this term in this context directly so that the readers could have a logical understanding of the behaviors of the historical figure and even the whole historical event. In addition to this term, phrases such as “秋毫 qiū háo” “常车 cháng chē” “士伍 shì wǔ” also adopt the same translation.

### 3.4 Footnote

Footnote refers to the added explanatory at the end of each page, which is usually adopted when the culture-loaded terms embrace great differences between the source language culture and the target language culture, or when the context requires so. This translation strategy is seldom used alone, the translator usually combines with other translation methods. Through this translation strategy, the translator is able to preserve the exotic charms of CLWs to a large extent, even though the readers may feel a bit inconvenient to search for cultural information of the terms. This translation strategy is found to be used to approach all kinds of CLWs.

#### Example 10

SL: 三年，王冠。（《史记笺证：壹，本纪·秦本纪》，第 360 页）

SL in pinyin: sān nián, wáng guàn.

TL: In the third year (335 B.C.), the King [Hui-wen] was capped<sup>248</sup> (by Nienhauser, *The Ch'in, Basic Annals five*: 110).

Footnote: <sup>248</sup> This was a ceremony, performed when a young noble reached twenty, which symbolized his coming of age (by Nienhauser, *The Ch'in, Basic Annals five*: 110).

Footnote plus other translation strategy is suitable for CLWs with huge intercultural gap. In Example 10, the term “冠 guàn” is translated as “cap” according to its literal meaning, which reveals that the coming-of-age ceremony in Ch'in dynasty is symbolized by cap. Beyond that, the translators further deepen the interpretation of this term in the annotation by explaining its cultural background. The intertextual relationship between the text and annotation provides the readers with a rich cultural interpretation where source-language culture is effectively represented. In addition, phrases such as “初伏 chū fú” “三户 sān hù” “金鼓 jīn gǔ” “阡陌 qiān mò” also use the same translation strategy.

### 3.5 Combination of Different Strategies

This translation strategy does not have a regular pattern of practice, and it is found to be used to approach all kinds of CLWs. The translation usually depends on the requirement of the terms themselves or the context. For example, the term in *The Grand Scribes Records* “土德 tǔ dé” is closely related to the theory of Wu Xing and the theory of Five Virtues, and origins from some legendary stories associated with the earth that occurred at the time of Huang-ti as Lu-shih Ch'un-ch'iu records (Han, 2004). For this reason, people recognized Huang-ti as a king that was blessed by the earth. In the book, the translator uses the expression “an auspicious omen” to describe the term “德 dé” according to its core sense, and the expression “related to earth's power” to describe the term “土 tǔ” according to its literal meaning. Meanwhile, the translators quote the explanation of Lu-shih Ch'un-ch'iu as intertextual reference and put it into note, enriching the cultural background of the term “土德 tǔ dé”.

To put it in nutshell, thick translation follows no pattern. In fact, the definition of thick translation remains controversial till today. According to Appiah's definition, only translations with annotations or extratextual texts can be defined as thick translation, but many scholars have shown in their research that there should be various categories of thick translation strategies (Cheung, 2007; Cao, 2016; Wen & Wang, 2016). At the same time, some scholars have pointed out that the theory of thick translation is lacking in guarantees from methodology to results (Wu & Zhu, 2019). Therefore, this study should clarify that the so-called “Thick Translation Strategy” here should be considered as a translation strategy that helps translators to achieve deep translation with the premise of not obscuring source-language culture. As for the definition of translation text with thickness, it should be judged from the degree of cultural interpretation that the whole book presents. Generally, considering the loyalty to source-language culture, literal translation, transliteration or other translation with notes should be the first concern in translation.

## 4. Influencing Factors of Translation Strategies

So far, the translation strategies used by Nienhauser and other translators have been explained in detail via case studies. With so many translation strategies, how the translators decide to adopt one translation strategy for these words and another one for other words? In this part, three potential influencing factors are identified based on the Context Theory: the translators' subjectivity, the degree of cultural differences and the degree of cultural default.

### 4.1 The Translators' Subjectivity

Regardless of all the different opinions on Thick Translation, there is one thing that many scholars agree about Thick



Translation: translation is always related to the translator's research purpose.

According to translation background and translation purpose illustrated in the paratext in *The Grand Scribes Records*, translation project of the entire *Shih Chi* started from 1970s to 1980s, when there still were thirty chapters of *Shih Chi* without thorough English translation and the most complete translation then was the translation of Burton Watson (Nienhauser et al, 1994; Nienhauser, 1996). Burton Watson's translation is generally recognized as a reader-friendly book with great aesthetic value, but he still sacrifices the scientific rigor of translation by simplifying academic terms, Chinese personal names or titles (Klein, 2010; Nylan, 1996; Bodde, 1995). In this case, to provide an "academic translation" has become a historical task. For this reason, Nienhauser sets "a faithfully, carefully annotated translation which is as literate and consistent as possible" as their purpose of translation (Nienhauser et al, 1994: xvii). During the interview with Wei Hong in 2018, he restated that accuracy was the priority of their translation, and their translation is for scholars and specialists instead of regular readers. Therefore, in his translation, foreignizing translation is mainly adopted: extensive annotations are added in the book and literal translation works as the main translation strategy.

#### 4.2 The Degree of Cultural Difference

The degree of cultural difference also plays an important role in the translation. Here the degree of cultural difference should be understood vertically and horizontally, that is, both the wideness and depth of cultural difference should be taken into consideration. The depth of cultural difference largely impacts the difficulty of understanding words originated in an alien culture. According to the Context Theory, the translators normally start from the literal meaning of exclusive terms representing different human civilizations, and find out the general meaning based on the context; after that, the meaning of words should be reaffirmed in the social-cultural context; next, the meaning of words should be recreated in the target-language culture based on the cultural information of both source-language culture and target-language culture; at last, the meaning of words will be expressed in the target language (Chen, 1998; Liu, 2001). In this process, the cultural differences between target-language and source-language function as the key element for understanding. If the cultural void is large, meaning that alternative concepts are hard to be found in another culture, then understanding such words could take more effort for the targeted readers. Such shared and implicit knowledge in two different cultures, defined as situational default, is normally expected to build the foundation of conversation (Wang, 1997). Thus, for absolute culture-vacant CLWs, one kind of term which cannot find any alternative term in another culture, foreignizing translation strategies such as transliteration, annotation or combination could be adopted more frequently. The depth of cultural differences decides the difficulty of representing an image of words in another culture. If words naturally embrace rich cultural information, with or without alternative terms in another culture, to represent such expression is bound to take more effort as well.

#### 4.3 The Degree of Contextual Default

As the Context Theory indicates above, the context of the original text is the key factor during the translation. According to Ge (2001), context is supposed to complement an expression's cultural connotation. Likewise, the translation of CLWs should also relate to the cultural void of context. As Wang (1997) indicates, shared background knowledge or pragmatic presupposition is required in conversation in order to reach an expected communication purpose. Therefore, when to reproduce the image of one word from source-language culture to the target-language culture, the cultural connotations embedded in the source-language should also be represented in the target-language culture; otherwise, the targeted readers could hardly understand the text even if the literal meaning of culturally unique terms is perfectly translated. However, when the extended meanings could be easily inferred from the context, an additional explanation is also not necessary. In conclusion, the translation of CLWs is subject to the need of context, which means that the translation strategies rely on how many efforts the intended readers would take to understand the whole context originated in the source language culture.

### 5. Conclusion

This study has observed how the translators approach each kind of CLWs and conclude five kinds of translation strategies applied in *The Grand Scribes Records* and their application scope: transliteration, literal translation, sense-for-sense translation, the combination of both and translation with footnote. Furthermore, this study has identified three factors that may influence the choice of translation strategies: translators' subjectivity, the degree of cultural difference and the degree of contextual default. Given all these findings, this study has many limitations. Firstly, this study only focuses on CLWs in selected chapters in *The Grand Scribes Records: Basic Annal of Pre-Han China*, so more cases in the entire *Shih Chi* still remain to be studied. Secondly, this paper only analyzes the translation of CLWs, neglecting the translation of the sentence, paragraph or even chapters.

The greatest advantage of in-depth translation is to resist the ideological impact or even erasure of the source language culture by increasing the degree of alienation of the translated text. In translation practice, although the translator's subjectivity has a great positive influence on the translation, his or her own personal emotion will inevitably affect the translation, which is

difficult to be avoided. In this case, it seems a bit risky to leave it to the translator to decide the “depth” of the translation alone. Therefore, this study suggest that a principle or mechanism to define the “thickness” of translation results could be an alternative of improvement.

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